Brigade S-1 Operations Course

BRIGADE S-1
TO PREPARE ADJUTANT GENERAL'S CORPS OFFICERS, WARRANT OFFICERS, AND NONCOMMISSIONED OFFICERS TO INTERPRET, INTEGRATE, COORDINATE, AND IMPLEMENT ARMY HR PROGRAMS AND POLICIES AT THE BRIGADE S-1 LEVEL
CORE COMPETENCIES AND KEY FUNCTIONS
Provide Human Resources Support

Administer the Evaluation Reporting System

August 2016

Senior Leader Training Division
Adjutant General School

Terminal Learning Objective

Action: Administer the Evaluation Reporting System (ERS)

Conditions: Given classroom instruction, AR 623-3 (Evaluation Reporting System), DA PAM 623-3 (Evaluation Reporting System), ADRP 6-22 (Army Leadership), U.S. Army Performance Evaluation Guide and awareness of Operational Environment (OE) variables and actors.

Standard: Complete all assigned ERS Practical Exercises and score 70% or higher on a knowledge based exam that includes the following enabling learning activities:

1. Communicate the principles of the Evaluation Reporting System (ERS).
2. Identify different types of evaluations.
3. Determine rating chain qualifications and responsibilities.
4. Determine counseling requirements that support ERS.
5. Apply the principles of the Evaluation Report Redress Program, including the Commander's Inquiry and the Appeals Process.
6. Determine the requirements for completion and submission of Evaluation Reports.
7. Define the Noncommissioned Officer Evaluation Report.
8. Define the Officer Evaluation Report.
9. Communicate the Evaluation Entry System (EES).
10. Identify Rater/Senior Rater Profile management actions.

ERS
Overview

ERS Principles

- **Principles of Support**
  - Evaluate the performance and future potential of officers, and NCOs
  - Integral integrator of Leader Development strategy

- **Standards of Service:** Identifies best qualified for promotion and assignments of greater responsibility

- **Functions**
  - Primary- Assist in making personnel management decisions
  - Secondary- Encourage leader professional

Categories of Evaluations

- Performance Evaluations – Officer and NCO Evaluation Reports (OER / NCOER)

- School Evaluations – Academic Evaluation Reports (AER) for both military and civilian institutions

AR 623-3, para 1-

Types of Evaluation Reports

Types of Reports

- Two types: Mandatory and Optional
- Further divided into “90-day minimum” and “other than 90-day minimum”
- To determine 90-day minimum requirements, non-rated periods are deducted from total number of days in rating period

Mandatory Reports

90-day Minimum

- ****Change of Rater (COR) (3-40)**
- Annual (3-41)
- **Extended Annual (3-42 & Fig 3-1)**
- Change of Duty (3-43)
- Depart Temporary Duty, Special Duty, or Temporary Change of Station (3-44 & 3-45)
- Officer Failing Selection for Promotion (3-46)
- Release from Active Duty Service (USAR & ARNG) (3-47)

Other than 90-day minimum

- *AER (DA Form 1059) (3-49)
- Civilian Institution AER (DA Form 1059-1) (3-50)
- FLEP Officers (3-51)
- Initial Tour of Extended Active Duty (3-52)
- HRC Directed (3-53)
- Relief for Cause (3-54/3-55)
- ***Mandated Annual DA Form 1059 for schools that are longer than 12 months**

(AR 623-3 Paragraph)

Optional Reports

90-day minimum

- Complete the Record (3-56)
- **Not** basis for Stand By Advisory Board (STAB) for promotion consideration

Other than 90-day minimum

- Senior Rater Option (3-57)
- Sixty Day Option (3-58)
- Rater Option (3-59)

Unmasking of Army Officer Evaluations Reports

(Army Directive 2015-07)

- Elimination of the masking process supports transparency

- Improves the accuracy of an officer's file in personnel management decision for the individual officer and the Army

- Boards are now best qualified vs. fully qualified – ensures retention and promotion of the best

All OERs, including previously masked OER will be placed in the performance section of the official Army Military Human Resource Records file.

U. S. Army Reserve Evaluations

- AR 623-3, Appendix G, modifies evaluation policies and procedures to meet the unique characteristics of the USAR

- USAR Soldiers in the IRR or Standby Reserve receive an evaluation if they have performed active duty and met minimum rater qualifications IAW Appendix G-3, AR 623-3

- Army Reserve Soldiers normally consist of:
  - Troop Program Unit = (TPU)
  - Individual Mobilization Augmentation = (IMA)
  - Drilling Individual Mobilization Augmentation = (DIMA)
  - Individual Ready Reserve = (IRR)
  - Reinforcement Training Unit = (RTU)
  - Standby Reserve (Active List)

Army National Guard ERS (1 of 3)

The ARNG follows previously noted AR 623-3 provisions, but has several unique requirements and processes:

- All ARNGUS Officer, Warrant and Enlisted PSB/UA Codes are two digit STATE MILPO CODES found in AR 623-3, Table H-2

- Non-rated codes are not required for ARNGUS, IRR (on active duty), and IMA Soldiers not on active duty (AR 623-3, para 3-33)

- Daily Duties and Scope along with Areas of Special Emphasis for ARNGUS AGR Soldiers assigned as Readiness NCOs or Training NCOs needs to reflect the MTOE/TDA unit assignment and the full time support titles such as Chief of Firing Battery/Readiness NCO

- A newly commissioned officer or newly appointed warrant officer will not be rated on an OER under any provisions of AR 623-3 prior to completion of an basic officer leader course, except for relief for cause reports, or provisions of paragraph H-5 for AMEDD officers

Army National Guard ERS (2 of 3)

Evaluation report submissions

- Completed evaluations for ARNGUS personnel are either forwarded to HQDA or retained by the State OPM or EPM.

- Army National Guard evaluations are available thru iPERMS at https://statepermsompf.hoffman.army.mil

- ARNGUS iPERMS records should also be used by the State's Human Resource Office (HRO) as the Soldier's Career Management Information File and AGR Management File

- In order to be eligible for an evaluation report, ARNG Soldiers will complete 120 calendar days (excluding nonrated periods) in the same duty position under the

Army National Guard ERS (3 of 3)

Mobilization

- Commanders will ensure evaluation reports are completed IAW AR 623-3 and DA PAM 623-3 for all RC Soldiers prior to redeployment or release from the Mob Station

- Deployed units will be responsible for establishing rating chains and ensure counseling is accomplished

- OERs will be prepared per para 2-3; NCOERs will be prepared per para 3-2, DA PAM 623-3

- Soldiers who meet the minimum period for an evaluation and whose rater is changed upon deployment, the unit from which the Soldier is mobilized will complete

Rating Chain Requirements & Responsibilities

Rating Scheme Information

- Are established by Commanders, Commandants and leaders of an organization and maintained by rating officials

- Tie individual performance to a specific senior/ subordinate relationship and will correspond as nearly as practicable to chain of command or supervision within a unit or organization

- Are established by name, effective dates, published and distributed to all concerned

- List the rated Soldier and all rating officials

AR 623-3, paras 2-2 and 2-3

Purpose of the Rating Chain

- **Strengthens accountability** within the members of a rating chain to maintain relationships that provide rated officers with leaders who have first-hand knowledge of their responsibilities, **performance and potential**.

- Allows commanders and senior leaders to be responsible for designating rating schemes / approved one level up (up to 3-Star HQ)

- Intermediate Raters limited to special branches and dual supervisor situations

- Supplementary Review: In instances when there are no uniformed Army designated rating officials for the Rated Officer, an Army Officer within the organization will be designated as a Uniformed Army Advisor and perform a supplementary review.

- The Uniformed Army Advisor will be an U.S. Army officer, normally senior to the senior rater, within the organization.

- The Uniformed Army advisor will monitor evaluation practices, provide assistance and advice to rating officials (as required) on matters pertaining to Army evaluations.
    - Applies in Joint Environments
    - Applies where DoD and DA Civilians serve as Rater and Senior Rater

Rating Chain Responsibilities

Rater

- **Provide Support Forms, if required**
- **Initial/quarterly counseling**
- **<u>Assess Soldier using all reasonable means</u>**
- Review Support Form at end of rating period if applicable
- Provide an objective and comprehensive evaluation of the rated Soldier's performance ***only***

Senior Rater

- **Become familiar with Soldier's performance**
- Evaluate Soldier from a broad organizational perspective
- Only evaluate the rated Soldier's potential relative to peers
- Ensure all reports are complete and realistic
- Ensure Soldier electronically signs eval

Intermediate Rater (OERs)

- When required to link rater and senior rater (e.g., Physician Assistant, Chaplain)
- **Assess performance based on personal contact, records, and reports**
- **Can comment on both performance and potential**
- An intermediate rater will not be incorporated within the rating chain as a means to promote pooling

Reviewer (NCOERs)

- **Ensure rating safeguard and over watch**
- Ensure rating chain is followed
- **Ensure report was reviewed by a 1SG/CSM**
- Comment only when a disagreement exist between rater and senior rater

Rated and Rating Officials

Rank of rated officer	Minimum rank or grade of military senior leader	Minimum grade / schedule and pay grades of civilian supervisor senior rater (merit / GS pay grade)
SGT/SGTP	E-7 (SFC)	GS-9 or equivalent
SSG/SSGP	E-8 (MSG)	GS-9 or equivalent
SFC/SFCP	E-9 (SGM)	GS-9 or equivalent
MSG/MSGP/1SG/1SGP/SGM/CSM	Senior to the rater	GS-9 or equivalent
WO1 through CW5/2LT/1LT	O-4 MAJ/Maj//(CPTP)	GS-13 or equivalent
1LTP/CPT	O-5 LTC/LtCol/Lt Col/MAJP	GS-13 or equivalent
CPTP/MAJ	O-6 COL/Col/LTCP	GS-13 or equivalent
MAJP/LTC	O-6 COL/LTCP	GS-15 or equivalent
LTCP/COL	O-7 BG/BGen/Brig Gen/ (COLP)	SES (see paras 2-7a(4) and 2-7a(15)(b))
COLP/BG/MG (MG is specific only for USAR	Senior to the rater and intermediate rater	Senior to the rater and intermediate rater

DA Pamphlet 623-3, Table 2-1, page 13

NCO Rating Chain Requirements

Rating Official	Minimum Time	Rank Requirement
Rater	Normally 90 rated days	SGT/GS7+; senior to rated NCO; sister service OK
Senior Rater	60 rated days	* Senior to rater; GS9+; sister service OK
Reviewer	None Required	** Officer/E-9/GS12+; Senior to SR; sister service OK

*** Rank dependent on rank of rated Soldier, see AR 623-3 Table 2-1**

**** Sister service or civilians are authorized when rater or senior rater is a uniformed Army official.**

Officer Rating Chain Requirements

Rating Official	Minimum Time	Rank Requirement
Rater	*90 rated days (AGR/Depl) (120 days non-mobilization)	Senior to rated officer; sister and allied service
Intermediate Rater	90 rated days	Only When required. Senior to rated officer; sister and allied service ok
Senior Rater	60 rated days (90 days ARNG)	See AR 623-3, Table 2-1

Special Branch Rating Chain Requirements

JAG Corps

- JAGC officers assigned to Brigades will have a rating chain that is in accordance with paragraph 2–3 and will normally be considered as serving under dual supervision; therefore, paragraph 2–22 applies

- Brigade CJAs will, whenever possible, be rated by their **local SJA** and senior rated by the **Brigade Commander**

- Trial counsel officers will normally be rated by the Brigade CJA, intermediate rated by the Deputy Commander (Sustainment Brigades) Executive Officer (Brigade Combat Teams, and senior rated by the SJA

Chaplain Corps

- There will be a supervisory chaplain in the rating chain when possible. For example, a Brigade Chaplain, as the supervisory chaplain, will be the

intermediate rater for a Battalion Chaplain

- In the absence of a supervisory chaplain, a senior chaplain familiar with the rated chaplain's performance will be designated as the intermediate rater if qualifications are met (see paragraph 2–6 for intermediate rater qualifications)

AMEDD

- Supervisory physicians will perform as either the rater or senior rater for Military Physician Assistants performing clinical duties

- When the supervising physician is not assigned to the same organizational element, dual supervision may exist

- Rating officials for MEDCOMs, RMCs, MRMC, AMEDDC&S, DENCOM and WTC are covered in para E-5, AR 623-3

- Special Requirements – Appendix E-2

Rating Scheme Examples

Standard Rating Scheme (Inspection Purposes)

Microsoft Excel Worksheet

Rating Scheme (Tracking Purposes)

Microsoft Excel Worksheet

Responsibilities of the S1

- Accurate and Timely **(ENDURING PRINCIPLES)** publishing of Rating Scheme

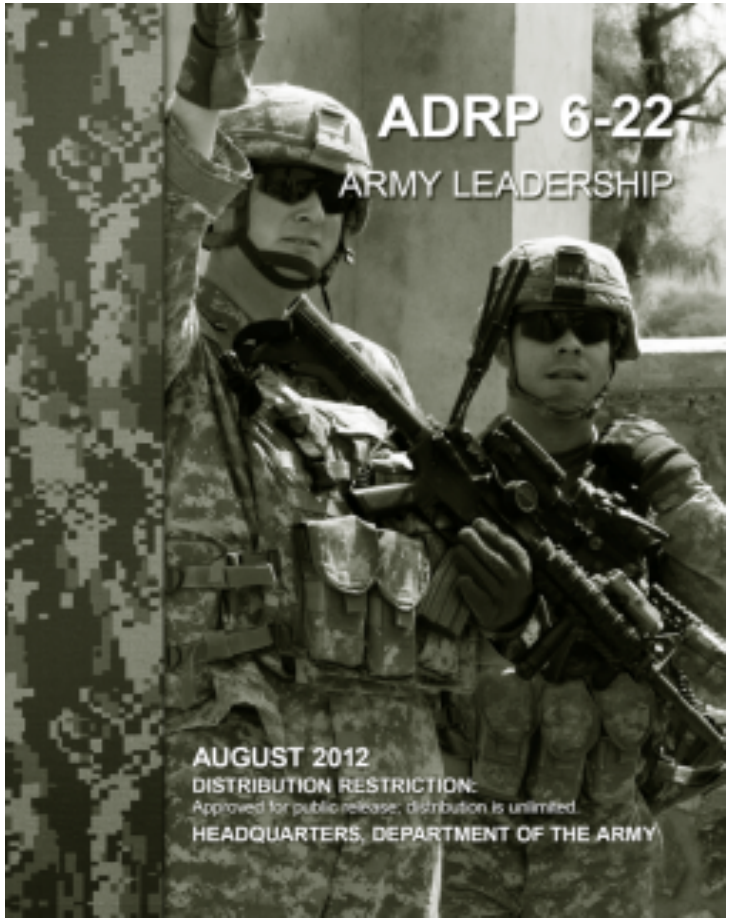
- Tracking of evaluations and types of evaluations due (Think Tanks, Synchronization Meetings, and Command Staff)

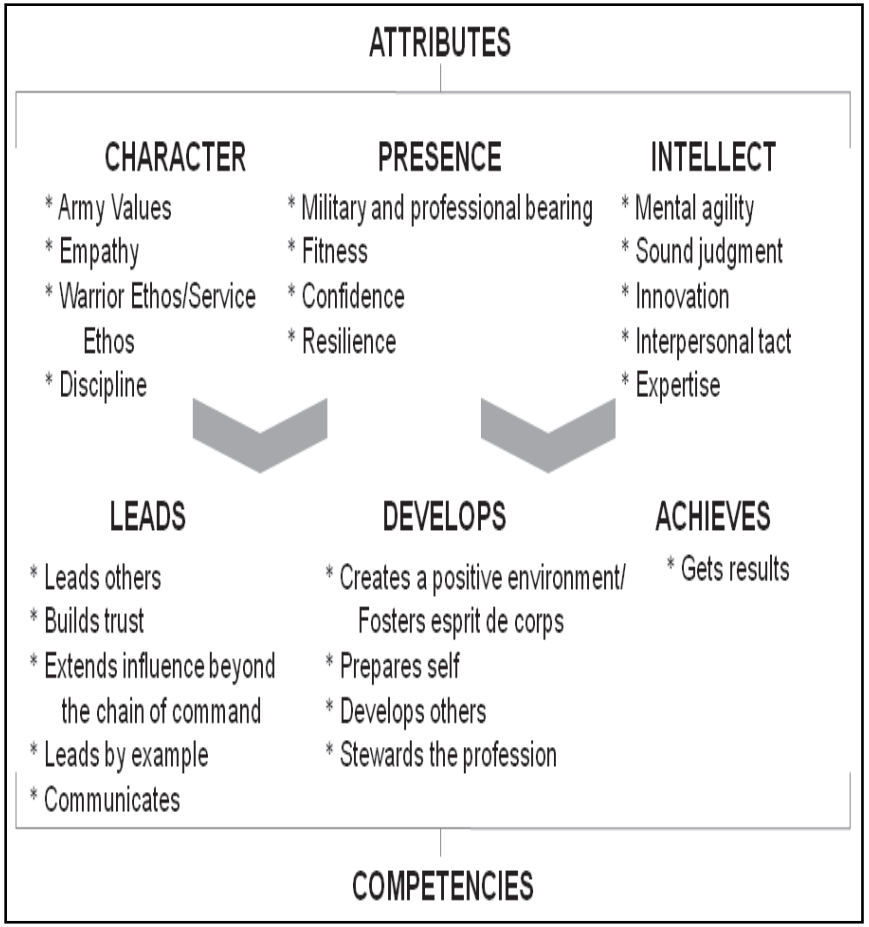
- Overall administrative review to include spelling, grammar, illegal comments, etc.

- Rater/Senior Rater Profile Management (no agenda)

- Submission of evaluations (no late reports)

Counseling Requirements





ADRP 6-22 AUG 2012 Figure 1-1. The Army leadership requirements model

The Importance of Counseling

- Assists the teammate (if new) adjust to the culture in an organization. New teammates may not be accustomed to an organization's practices and acceptable behaviors (Army Values)

- Bridges the gap between **educational theory** and **actual organizational practices**

- Improves employee morale and engagement

- Aligns the goals of the teammate with the

" The very best question that a leader can ask in a counseling session is, 'How am I, as your boss, wasting your time?' Not everyone will tell you but cherish the ones that do, for they will help you grow and prosper as a leader." MG Perry Smith

Support Form Communication Process

Initial counseling/discussion and follow-up face-to-face:

- Initial counseling/discussion assists in developing duty description, responsibilities, and performance objectives
- **Follow-up counseling enhances mission related planning, assessment, and performance development**

Follow-up counseling sessions conducted:

- Active Army NCOs – Quarterly
- ARNGUS and USAR NCOs – Semi-annually
- Active Army CPT/LT/CW2/WO1 – Determined by rating officials
- ARNGUS and USAR CPT/LT/CW2/WO1 – Determined by rating officials
- **All Field Grades – Determined by rating officials**

Support Forms

NCO Support Form

- DA Form 2166-9-1A
- Mandatory for CPL – CSM
- Initial counseling conducted within 30 da
- Serves as a record for counseling
- Data transferable between the support and evaluation forms within EES

Purpose:

- Expectations
- Goals (S.M.A.R.T.)

Officer Support Form

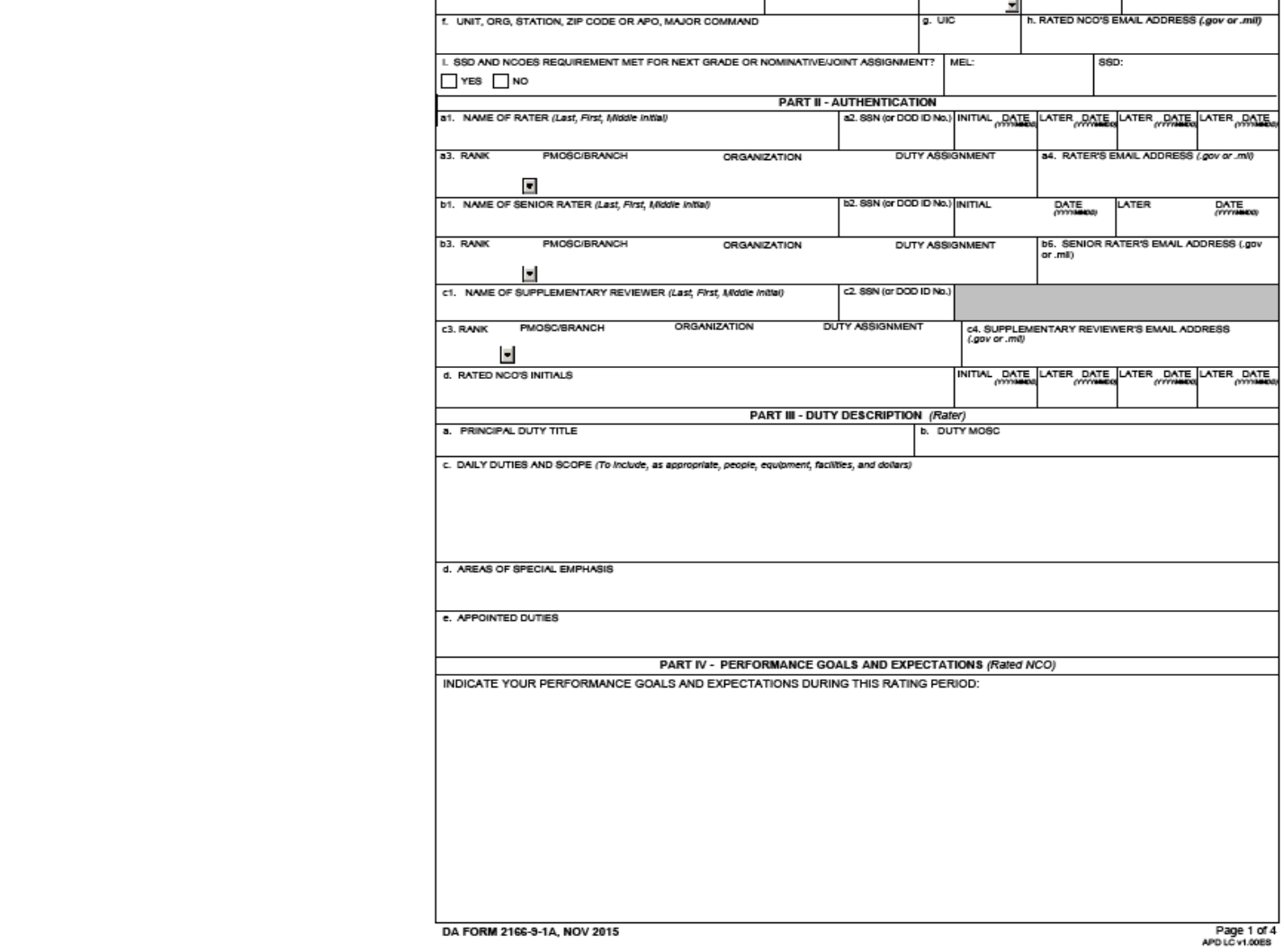
- Use of DA Form 67-10-1A is mandatory for (COLs and below
- Initiate and complete in the Evaluation Entry System
- ansferable between the and evaluation forms S
- es the rater's ability to complete future OERs
- Performance based counseling tool
- Ties performance objectives to measureable accomplishments
- Nested with the current leadership doctrine (ADRP 6-22)

DA Pam 623-3, Table C-1

S.M.A.R.T Goals

SMART Goals	Simple Goals	SMART Goal
Specific: well-defined so that anyone can understand the goal	I want to improve our HR metrics	I will improve the timeliness rate of evaluation reports from 100% late to 0% late
Measurable: needs to have parameters in order to know if the goals was achieved	I want to eliminate returned evaluations	I will eliminate returned reports by the end of the second quarter by utilizing a checklist that captures the trends that the command will utilize prior to submitting evaluation reports
Attainable/Achievable: must be a realistic goal that challenges you	I want to eliminate grammatical errors in evaluation reports	I will eliminate grammatical errors in evaluation reports by utilizing a grammar checker prior to requesting the rating chain to digitally sign
Realistic/Relevant: make sure the goal is consistent with your other goals and will aid you in achieving your long term goal	I want to change my leadership style	I will improve my leadership style by adopting a team-oriented style as opposed to an authoritative one
Time-oriented: create a time frame for when you want to accomplish your goal	I want to be at Corps standard for the timeliness of evaluation reports	I will improve the timeliness rate of evaluation reports from 100% late to 0% late in 60 days

NCOER Support Forms



HQDA#:

Attachments Menu

NCO EVALUATION REPORT SUPPORT FORM
For use of this form, see AR 623-3; the proponent agency is DCS, G-1.

SEE PRIVACY ACT STATEMENT IN AR 623-3

PART I - ADMINISTRATIVE DATA

a. NAME (Last, First, Middle Initial)	b. SSN (or DOD ID No.)	c. RANK	d. DATE OF RANK	e. PMOSC
f. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND		g. UIC	h. RATED NCO'S EMAIL ADDRESS (.gov or .mil)	
i. SSD AND NCOES REQUIREMENT MET FOR NEXT GRADE OR NOMINATIVE/JOINT ASSIGNMENT? ☐ YES ☐ NO		MEL:	SSD:	

PART II - AUTHENTICATION

a1. NAME OF RATER (Last, First, Middle Initial)	a2. SSN (or DOD ID No.)	INITIAL DATE (YYYYMMDD)	LATER DATE (YYYYMMDD)	LATER DATE (YYYYMMDD)	LATER DATE (YYYYMMDD)
a3. RANK PMOSC/BRANCH ORGANIZATION DUTY ASSIGNMENT				a4. RATER'S EMAIL ADDRESS (.gov or .mil)	
b1. NAME OF SENIOR RATER (Last, First, Middle Initial)	b2. SSN (or DOD ID No.)	INITIAL DATE (YYYYMMDD)	LATER DATE (YYYYMMDD)		
b3. RANK PMOSC/BRANCH ORGANIZATION DUTY ASSIGNMENT				b5. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil)	
c1. NAME OF SUPPLEMENTARY REVIEWER (Last, First, Middle Initial)	c2. SSN (or DOD ID No.)				
c3. RANK PMOSC/BRANCH ORGANIZATION DUTY ASSIGNMENT				c4. SUPPLEMENTARY REVIEWER'S EMAIL ADDRESS (.gov or .mil)	
d. RATED NCO'S INITIALS		INITIAL DATE (YYYYMMDD)	LATER DATE (YYYYMMDD)	LATER DATE (YYYYMMDD)	LATER DATE (YYYYMMDD)

PART III - DUTY DESCRIPTION *(Rater)*

a. PRINCIPAL DUTY TITLE	b. DUTY MOSC
c. DAILY DUTIES AND SCOPE *(To include, as appropriate, people, equipment, facilities, and dollars)*	
d. AREAS OF SPECIAL EMPHASIS	
e. APPOINTED DUTIES	

PART IV - PERFORMANCE GOALS AND EXPECTATIONS *(Rated NCO)*

INDICATE YOUR PERFORMANCE GOALS AND EXPECTATIONS DURING THIS RATING PERIOD:

DA FORM 2166-9-1A, NOV 2015

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Sample OER Support Forms

Home Station

HQDA#: 6286

OFFICER EVALUATION REPORT SUPPORT FORM
For use of this form, see AR 623-3 ; the proponent agency is DCS, G-1.

SEE PRIVACY ACT STATEMENT IN AR 623-3

PART I - ADMINISTRATIVE (Rated Officer)

a. NAME (Last, First, Middle Initial)	b. SSN	c. GRADE/ RANK	d. DATE OF RANK (YYYYMMDD)	e. BRANCH	f. COMPONENT (STATUS CODE)

g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND	h. UIC CODE	i. THRU DATE OF LAST COMPLETED EVALUATION

j. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)	k. MSAF DATE

PART II - AUTHENTICATION

a1. NAME OF RATER (Last, First, Middle Initial)	a2. SSN	a3. RANK	a4. POSITION	a5. EMAIL ADDRESS (.gov or .mil)
b1. NAME OF INTERMEDIATE RATER (Last, First,Middle Initial)	b2. SSN (OPTIONAL)	b3. RANK	b4. POSITION	b5. EMAIL ADDRESS (.gov or .mil)
c1. NAME OF SENIOR RATER (Last, First, Middle Initial)	c2. SSN	c3. RANK	c4. POSITION	c5. EMAIL ADDRESS (.gov or .mil) Â
c6. SENIOR RATER'S ORGANIZATION	c7. BRANCH	c8. COMPONENT	c9. SENIOR RATER PHONE NUMBER	
d1. INDIVIDUAL TO PERFORM SUPPLEMENTARY REVIEW (Last, First, Middle Initial) - (IF REQUIRED)	d2. RANK	d3. POSITION	d4. EMAIL ADDRESS (.gov or .mil)	

PART III - VERIFICATION OF FACE - TO - FACE DISCUSSION

MANDATORY RATER/RATED OFFICER INITIAL FACE-TO-FACE COUNSELING ON DUTIES, RESPONSIBILITIES AND PERFORMANCE OBJECTIVES FOR THE CURRENT RATING PERIOD TOOK PLACE ON (DATE) 20130909 RATED OFFICER INITIALS RATER INITIALS SENIOR RATER INITIALS

RATED OFFICER ACCESS TO SUPPORT FORMS PRIOR TO INITIAL COUNSELING: RATER (Date 20131021) SENIOR RATER (Date 20131111)

PERIODIC RATER / RATED OFFICER FOLLOW-UP FACE-TO-FACE COUNSELINGS:

DATE 20140107 RATED OFFICER INITIALS RATER INITIALS SENIOR RATER INITIALS

DATE 20140403 RATED OFFICER INITIALS RATER INITIALS SENIOR RATER INITIALS

DATE 20140731 RATED OFFICER INITIALS RATER INITIALS SENIOR RATER INITIALS

PART IV - RATED OFFICER - DUTIES AND RESPONSIBILITIES

a. PRINCIPAL DUTY TITLE:	b. POSITION AOC/BRANCH:
Brigade S1	42H/AG

c. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES:

Principle advisor to the Brigade Commander for all human resource (HR) operations in a modular Sustainment Brigade assigned to USFORSCOM. Perform HR Planning and Operations and supervise the execution of all other HR mission essential tasks within the brigade. Provide technical guidance to subordinate S1 unit sections. Implement agile and clear HR policies. Implement and execute effective and efficicient HR practices. Develop, lead, and promote discipline and lifelong learning environment for a staff that is competent and confident in HR operations. Ensure the command is manned in accordance with US Army manning guidance and policies of the commander to mobilize and deploy in support of Unified Land Operations. Responsible for the health, welfare, and supervision of one Officer, one Warrant Officer, four Non-commissioned Officers, and six junior Enlisted Soldiers.

PART V - PERFORMANCE OBJECTIVES AND ACCOMPLISHMENTS

a. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:	b. LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:
A. Man The Force. Build the combat power of the organization, so it can execute sustainment operations in support of Unified Land Operations. Get the right Soldier with the right qualification to the right place at the right time. Analyze personnel strength data to determine current combat capabilities, projecting future requirements, and assessing conditions of individual readiness. B. Provide HR Support. Conduct superior Essential Personnel Services, which includes awards and decorations, evaluation reports, promotions and reductions, transfers and discharges, identification documents, and coordination of military pay and entitlements, etc. C. Coordinate Personnel Service Support. Conduct Command Interest Programs.	A. Synchronized with HRC the arrival of personnel to ensure the brigade was properly manned to meets its rotational duties as a deploying unit in support of Unified Land Operations B. Implemented an Award and Personnel Actions tracking system which provided units the ability to accurately monitor progress C. Held bi-weekly leader development sessions and incorporated in counseling sessions the importance of being stewards of our profession and the importance of creating a work environment that is the model of good order and discipline, a work environment where all can freely express themselves and grow as a Soldier and a HR professional

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Deployed

HQDA#: 227808

OFFICER EVALUATION REPORT SUPPORT FORM
For use of this form, see AR 623-3 ; the proponent agency is DCS, G-1.

SEE PRIVACY ACT STATEMENT IN AR 623-3

PART I - ADMINISTRATIVE (Rated Officer)

a. NAME (Last, First, Middle Initial)	b. SSN	c. GRADE/ RANK	d. DATE OF RANK (YYYYMMDD)	e. BRANCH	f. COMPONENT (STATUS CODE)

g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND	h. UIC CODE	i. THRU DATE OF LAST COMPLETED EVALUATION

j. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)	k. MSAF DATE

PART II - AUTHENTICATION

a1. NAME OF RATER (Last, First, Middle Initial)	a2. SSN	a3. RANK	a4. POSITION	a5. EMAIL ADDRESS (.gov or .mil)
G				
b1. NAME OF INTERMEDIATE RATER (Last, First,Middle Initial)	b2. SSN (OPTIONAL)	b3. RANK	b4. POSITION	b5. EMAIL ADDRESS (.gov or .mil)
c1. NAME OF SENIOR RATER (Last, First, Middle Initial)	c2. SSN	c3. RANK	c4. POSITION	c5. EMAIL ADDRESS (.gov or .mil)
c6. SENIOR RATER'S ORGANIZATION	c7. BRANCH	c8. COMPONENT	c9. SENIOR RATER PHONE NUMBER	
d1. INDIVIDUAL TO PERFORM SUPPLEMENTARY REVIEW (Last, First, Middle Initial) - (IF REQUIRED)	d2. RANK	d3. POSITION	d4. EMAIL ADDRESS (.gov or .mil)	

PART III - VERIFICATION OF FACE - TO - FACE DISCUSSION

MANDATORY RATER/RATED OFFICER INITIAL FACE-TO-FACE COUNSELING ON DUTIES, RESPONSIBILITIES AND PERFORMANCE OBJECTIVES FOR THE CURRENT DATE) 20140923 RATED OFFICER INITIALS RATER INITIALS SENIOR RATER INITIALS

RATED OFFICER ACCESS TO SUPPORT FORMS PRIOR TO INITIAL COUNSELING: RATER (Date) SENIOR RATER (Date)

PERIODIC RATER / RATED OFFICER FOLLOW-UP FACE-TO-FACE COUNSELINGS:

DATE RATED OFFICER INITIALS RATER INITIALS SENIOR RATER INITIALS

DATE RATED OFFICER INITIALS RATER INITIALS SENIOR RATER INITIALS

DATE RATED OFFICER INITIALS RATER INITIALS SENIOR RATER INITIALS

PART IV - RATED OFFICER - DUTIES AND RESPONSIBILITIES

a. PRINCIPAL DUTY TITLE:	b. POSITION AOC/BRANCH:
Brigade S-1	42H/AG

c. STATE YOUR SIGNIFICANT DUTIES AND RESPONSIBILITIES:

The principle advisor to the Brigade Commander for all human resource (HR) operations in support of Operation Spartan Shield, Inherent Resolve, and Enduring Freedom. Perform HR Planning and Operations and supervise the execution of all other HR mission essential tasks within the brigade. Provide technical guidance to subordinate S1 sections. Develop, lead and promote discipline and lifelong learning environment for a staff that is competent and confident in HR operations. Responsible for the health, welfare, supervision, and fostering a climate of dignity and respect for one Officer, one Warrant Officer, four Non-commissioned Officers, and six Junior Enlisted Soldiers.

PART V - PERFORMANCE OBJECTIVES AND ACCOMPLISHMENTS

a. INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES:	b. LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:
A. Man The Force. Manage the combat power of the organization, so it can execute sustainment operations in support of Unified Land Operations. Get the right Soldier with the right qualification to the right place at the right time. Analyze personnel strength data to determine current combat capabilities, projecting future requirements, and assess individual readiness. B. Provide HR Support. Conduct Essential Personnel Services, which includes awards and decorations, evaluation reports, promotions and reductions, transfers and discharges, identification documents, casualty operations, and coordination of military pay and entitlements.	A1. Coordinated with HRC to ensure the brigade was manned at 100% to execute its wartime mission in accordance with the PPG. A2. Coordinated with HRC to ensure the brigade staggered the release of key leaders to ensure the loss of tacit knowledge did not degrade the brigade to prepare for its deployment. A3. PRT maintained a zero percent variance for nine consecutive months in personnel accountability. B1. Implemented an award and evaluation system to accurately monitor and process.

DA FORM 67-10-1A, MAR 2014 Page 1 of 5
APD LC v1.00ES

Check on Learning

Q: Who establishes rating chains?

A: Commanders are responsible for establishing rating chains.

Q: What is the minimum rater and senior rater requirement of a Captain with the Date of Rank

A: **Rater** must have served in the position for a minimum of 90 days and be in the grade of Captain or higher with a date of rank before 20131101.

Senior Rater must have served in the position for a minimum of 60 days and be in the grade of a Lieutenant Colonel or higher.

Evaluation Report Redress Program

Evaluation Report Redress Program

- Both preventive and corrective in nature.
- Protects the Army's interests and ensures fairness to the rated Soldier.
- First program element is the communication process.
- Second element is the various regulatory requirements.
- OERs have a referral and acknowledgement process. Redress Program includes, in this order:
  - Commander's or Commandant's Inquiry
  - Evaluation Appeals System
  - Army Board of Correction of Military Records

Commander's or Commandant's Inquiry

- Provide command involvement in preventing obvious evaluation injustices and in correcting errors **before** they become a matter of permanent record.

- Not a prerequisite for submission of an appeal.

- Not used to document differences of opinion amongst rating officials.

- Commanders will not pressure/force raters to change their evaluation.

Inquiry Process

- Must be in writing to a commander above the designated rating chain.

- Commander/Commandant may take the following actions:
  - If no error, violation of the regulation, or wrong-doing is found, advise the requester and take no further action.

  - If an error, violation of the regulation, or wrong-doing has occurred and the evaluation has not been forwarded to HQDA, the evaluation is returned with the inquiry results to be corrected; report is sent to HQDA with no reference to the inquiry.

  - If rating chain members cannot agree on the need for change in the report, the commander will forward the evaluation report and the results of the inquiry to the appropriate agency listed in Appendix F.

Appeals Process

- The Soldier or another party can file an appeal of an evaluation report that he or she feels is unjust
- The results of a Commander's Inquiry does not constitute an appeal -- they may be used to support it
- Substantiating evidence must support an appeal
- Appeals based solely on the lack of counseling will not normally serve as a basis to invalidate a report
- Two types:
  - Administrative (no time limit)
  - Substantive (3 year limit)

Check on Learning

Q. The redress program is both _____ and

A. Preventive and Corrective.

Q. True or False: A Commander's Inquiry is a prerequisite for submission of an appeal?

A. False. However, the results of a Commander's Inquiry may be used in support of an appeal.

at are the two types of appeals?

A. Administrative (no time limit) and Substantive (3 year limit).

Completing Evaluation Reports

Evaluation Restrictions

- No reference to other rating periods
- No continuation sheets
- Prohibitive narratives
- No unproven derogatory information
- No comments about race, color, religion, gender, or national origin
- No comments about marital status or spouse’s job, school, or volunteer work

Submission Codes

Common Submission Codes

02: Annual
03: Change of Rater
09: Complete the Record
10: Extended Annual

Other submission Codes

05: Relief for Cause
06: Depart TDY, TCS, SD
08: Senior Rater Option
19: HRC Directed

Non-Rated Codes

Common Non-Rated Codes

I: In transit between duty stations, including leave, permissive TDY & TDY

P: Patient

Q: Lack of rater qualification

S: Student at military or civilian school

Other Non-Rated Codes

A: Absent without leave/desertion/unsatisfactory participant

C: Confinement in military or civilian detention facility

E: Leave (30 or more consecutive days)

H: Healing (for WTU Soldiers performing their healing mission)

T: On TDY/SD/TCS less than 90 calendar days

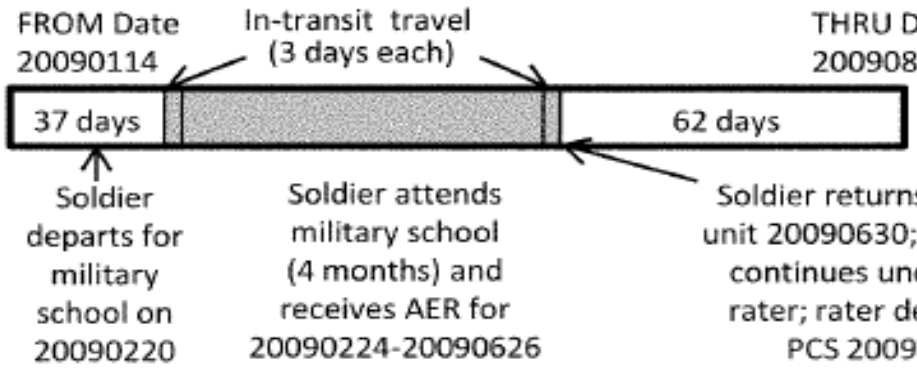
OERs, Table 2-25	DA Pam 623-3	NCOERs, Table 3-17

Calculating Nonrated Time

AR 623-3, Figure 3-1

Example 3 – Change of Rater Report (with school and return to same unit)

THRU Date Last Report - 20090113

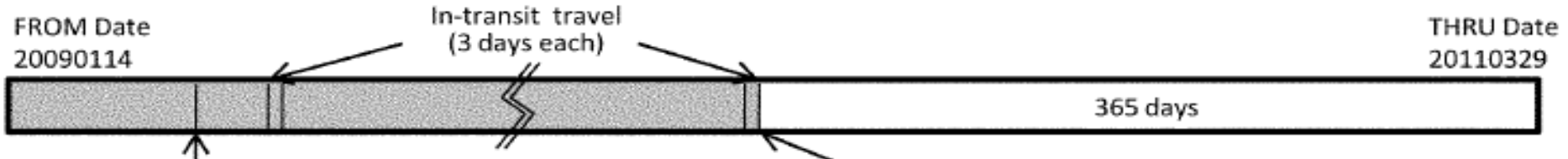

FROM Date
20090114
In-transit travel
(3 days each)
THRU Date
20090830
37 days
62 days
Soldier departs for military school on 20090220
Soldier attends military school (4 months) and receives AER for 20090224-20090626
Soldier returns to same unit 20090630; rated time continues under same rater; rater departs on PCS 20090830

Type of Report: **Code 03 Change of Rater**
Period Covered: 20090114-20090830
Rating Period: 20090114-201090830
Number of Rated Months: 3
Nonrated Codes: S, I

Note: The in-transit time used in these examples is 3 days; periods of in-transit travel time may be longer or shorter in duration.

Example 4 – Extended Annual Report (with school enroute to next assignment)

THRU Date Last Report - 20090113


FROM Date
20090114
In-transit travel
(3 days each)
THRU Date
20110329
365 days
Minimum qualifications not met before Soldier departs on leave for 30 days (20090401-20090430);
Soldier attends military school (10 months); receives AER for 20090504-20100326
Soldier arrives at new unit 20100330; beginning of rating period

Type of Report: **Code 10 Extended Annual**
Period Covered: 20090114-20110329
Rating Period: 20100330-20110329
Number of Rated Months: 12
Nonrated Codes: Q, E, S, I

Sexual Harassment/Assault Response and Prevention Program and Evaluations

Both officers and noncommissioned officers must commit themselves to eliminating sexual harassment and assault and to fostering climates of dignity and respect in their units.

Referred Reports (OER)

- A “Relief for Cause” report submitted under the provisions of paragraph 3–54
- Any report with an entry of “FAIL” in Part IV, indicating noncompliance with AR 350–1; or an entry of “NO “ indicating noncompliance with AR 600–9
- A rater potential evaluation in Part IV where the required explanation has derogatory information
- A SR potential evaluation of “Not Qualified” or “Unsatisfactory” in Part VI or “Qualified” or “Retain as Colonel” in Part VI, block a where the required explanation has derogatory information

AR 623-3, Para 3-26, 3-54 & 55, DA Pam 623-3, para 2-28 thru 2-30

- A rater performance evaluation of “Unsatisfactory” in

Referred Report Example

HQDA#: Attachments Menu

FIELD GRADE PLATE (O4 - O5; CW3 - CW5) OFFICER EVALUATION REPORT
For use of this form, see AR 623-3; the proponent agency is DCS, G-1.
See Privacy Act Statement in AR 623-3.

PART I - ADMINISTRATIVE *(Rated Officer)*

a. NAME (Last, First, Middle Initial)	b. SSN (or DOD ID No.)	c. RANK	d. DATE OF RANK (YYYYMMDD)	e. BRANCH	f. COMPONENT (Status Code)
		MAJ	20100701	AG	RA

g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND	h. UIC	i. REASON FOR SUBMISSION
		05 | Relief for Cause

j. PERIOD COVERED FROM (YYYYMMDD)	THRU (YYYYMMDD)	k. RATED MONTHS	l. NON RATED CODES	m. NO. OF ENCLOSURES	n. RATED OFFICER'S EMAIL ADDRESS (.gov or .mil)
20140316	20150220	9	Z	1	

PART II - AUTHENTICATION *(Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)*

a1. NAME OF RATER (Last, First, Middle Initial)	a2. SSN (or DOD ID No.)	a3. RANK	a4. POSITION
		LTC	Battalion Commander

a5. EMAIL ADDRESS (.gov or .mil)	a6. RATER SIGNATURE	a7. DATE (YYYYMMDD)

b1. NAME OF INTERMEDIATE RATER (Last, First, Middle Initial)	b2. SSN (or DOD ID No.)	b3. RANK	b4. POSITION

b5. EMAIL ADDRESS (.gov or .mil)	b6. INTERMEDIATE RATER SIGNATURE	b7. DATE (YYYYMMDD)

c1. NAME OF SENIOR RATER (Last, First, Middle Initial)	c2. SSN (or DOD ID No.)	c3. RANK	c4. POSITION
		COL	Brigade Commander

c5. SENIOR RATER'S ORGANIZATION	c6. BRANCH	c7. COMPONENT	c9. EMAIL ADDRESS (.gov or .mil)

c8. SENIOR RATER PHONE NUMBER	c10. SENIOR RATER SIGNATURE	c11. DATE (YYYYMMDD)

d. This is a referred report, do you wish to make comments?	e1. RATED OFFICER SIGNATURE	e2. DATE (YYYYMMDD)
☒ Referred ☐ Yes, comments are attached ☒ No		

f1. Supplementary Review Required?	f2. NAME OF REVIEWER (Last, First, Middle Initial)
☒ Yes ☐ No	

f3. RANK	f4. POSITION	f5. Comments Enclosed	g. MSAF Date (YYYYMMDD)
BG	Deputy Commanding General	☐ Yes ☒ No	20150103

f6. SUPPLEMENTARY REVIEWER SIGNATURE	f7. DATE (YYYYMMDD)

PART III - DUTY DESCRIPTION

a. PRINCIPAL DUTY TITLE	b. POSITION ADC/BRANCH
Director	42H/AG

c. SIGNIFICANT DUTIES AND RESPONSIBILITIES
Director for the CENTCOM Theater Gateway, responsible for maintaining 100% accountability, logistical coordination, and providing Joint Operations Area level reception, replacement, and redeployment of transiting personnel. Responsible for leader development, mentorship and career management of all employees in the Gateway. Establishes realistic mission objectives and support a command climate necessary to foster Army values and maintain a culture in which sexual assault and harassment is never tolerated.

PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES *(Rater)*

a. APFT Pass/Fail/Profile: PASS Date: 20140611 Height: 66 Weight: 155 Within Standard? YES
Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards? Reset item a. APFT/Pass/Fail/Profile

b. THIS OFFICER POSSESSES SKILLS AND QUALITIES FOR THE FOLLOWING BROADENING ASSIGNMENTS
HRSC Casualty Division Chief, HRC Staff Officer

c. THIS OFFICER POSSESSES SKILLS AND QUALITIES FOR THE FOLLOWING OPERATIONAL ASSIGNMENTS
Corps/DIV G1 Strength Manager, HROB OIC, ASCC G1 Staff Officer

d1. Character: *(Adherence to Army Values, Empathy, and Warrior Ethos/Service Ethos and Discipline. Fully supports SHARP, EO, and EEO.)*	MAJ XXXX fully supports the Army's EO, EEO and SHARP Programs. XXXX has a big heart and truly cares for her Soldiers. However, her manner of displaying this care was, at times, belittling and disrespectful. This manner subsequently created a climate that did not fully support the Army Values.

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APD LC v1.00ES

If any of the criteria spelled out above is met the following steps must occur:

Step 1: The senior rater must refer the completed evaluation to the rated officer for acknowledgement

Step 2: The senior rater presents the rated officer with the referral and acknowledgement memorandums (the referral memorandum has a reasonable suspense for the rated officer to provide comments or sign the evaluation without comments

Step 3: After all documents have been signed, the senior rater (if relieving official) will forward the evaluation along with any comments to the reviewer for signature

Step 4: After the reviewer has signed, the S-1 will forward the referred report

Newly Commissioned Officers and Warrant Officers

- Newly commissioned officers (active Army and ARNG) and newly appointed warrant officers will not be eligible to receive OERs, except for “Relief for Cause” reports, until after the completion of the respective officer basic course (either Basic Officer Leaders Course (BOLC) or warrant officer basic course (WOBC).

- Units will begin the rating period upon arrival at the first duty station or assignment after completion of BOLC or WOBC.

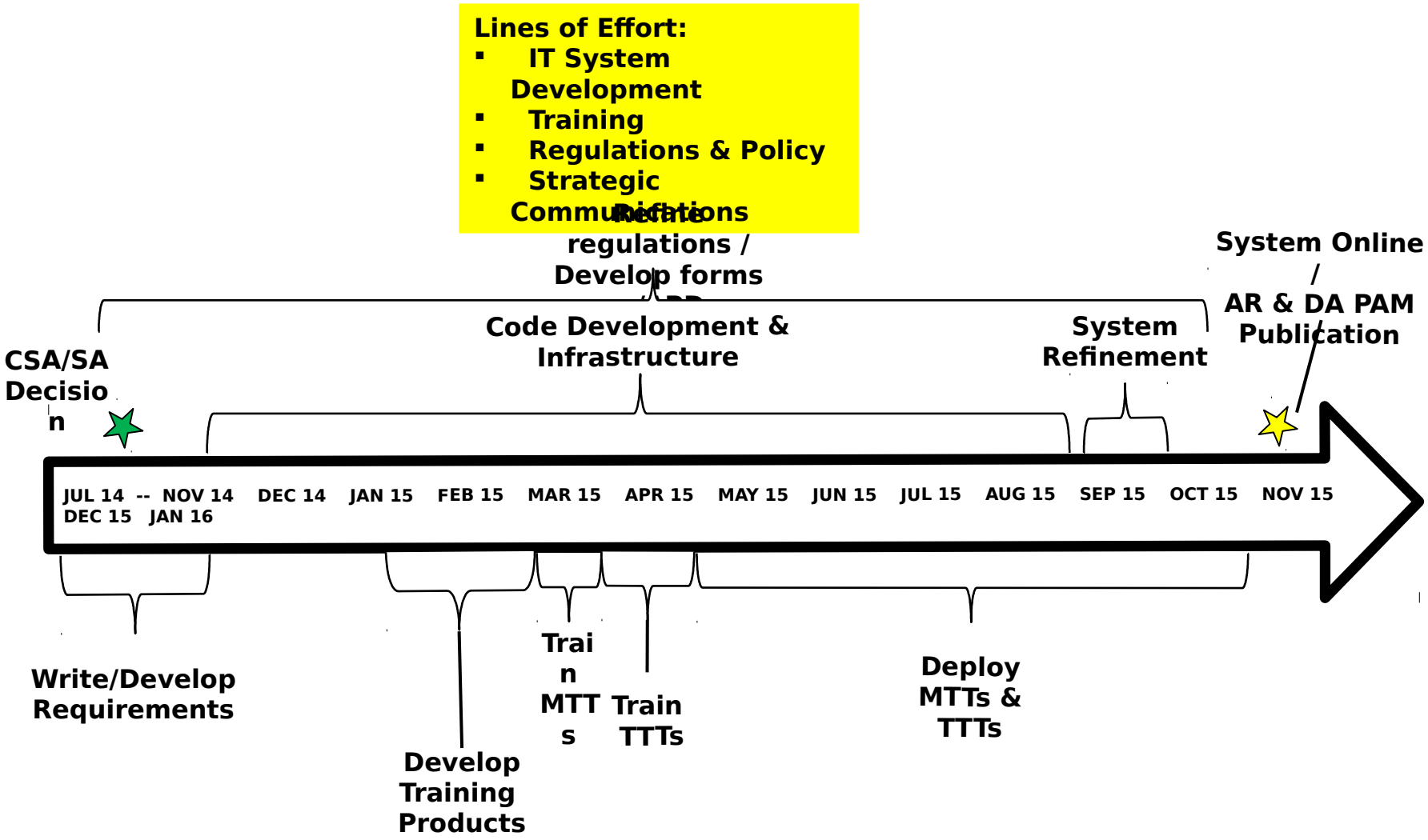
- The officer’s first “Annual” (“Extended Annual”) OER will be due 1 calendar year after arrival at the first duty assignment (paras 3–41, and 3–42) unless another event (for example, “Change of Rater” or “Change of Duty”) occurs. The “FROM” date in the period covered will be the

NCO Evaluation Reports

Primary Reason for the Changes

- To reflect current leadership doctrine (ADRP 6-22)
- To establish and enforce rating official accountability
- To address the “one size” does not fit all
- To encourage counseling through the improvement of the support form
- Previous NCOER (DA Form 2166-8) was implemented in 1987
- Inline with the 38th CSA Strategic Priorities
- DA Centralized Selection Boards feedback in identifying the very best for promotion

NCOER Transition Timeline



What Changed

CHARACTERISTIC	PREVIOUS NCOER (DA FORM 2166-8)	CURRENT NCOER (DA FORM 2166-9 SERIES)
NCOER Counseling Support Form	▪Based on the Leadership Dimensions of FM 22-100 ▪Rater counsels initially and quarterly ▪Senior Rater – no requirement to counsel ▪Reviewer – no requirement to counsel; provides oversight/assists rating chain	▪Aligns with Leadership Requirements Model of ADP 6-22 ▪Rated NCO provides goals and expectations ▪Rater counsels initially and quarterly ▪Senior Rater counsels, at a minimum, twice during rating period ▪Supplemental Reviewer provides oversight/assists rating chain ▪Incorporates SSD/NCOES completion box for next grade
Form	One report for all NCOs	Three reports 1.SGT (Direct Level) 2.SSG through 1SG/MSG (Organizational) 3.CSM/SGM (Strategic)
Rating Chain Responsibilities	▪Rater assesses performance and potential ▪Senior Rater assesses performance and potential ▪Reviewer provides oversight/assists rating chain	▪Rater assesses performance ▪Senior Rater assesses potential ▪Supplemental Reviewer provides oversight/assists rating chain
Army Leadership Doctrine	Based on the Leadership Dimensions of FM 22-100	Aligns with Leadership Requirements Model of ADRP 6-22
Assessment Format	Bullet comments for all NCOs	▪Rater ▪ Bullet comments for SGT through 1SG/MSG ▪ Narrative comments for CSM/SGM ▪Senior Rater – narrative comments for all NCOs
Senior Rater Assessment	Uncontrolled promotion-based “1” – Recommendation for immediate promotion “2” – Strong recommendation for promotion “3” – Recommendation for promotion “4” – Should not be promoted at this time “5” – Do not promote	Controlled potential-based ▪Most Qualified (24%) ▪Highly Qualified ▪Qualified ▪Not Qualified
Rating Chain Accountability	No accountability	Rater Tendency Label and Constrained Senior Rater Profile for SSG through CSM/SGM

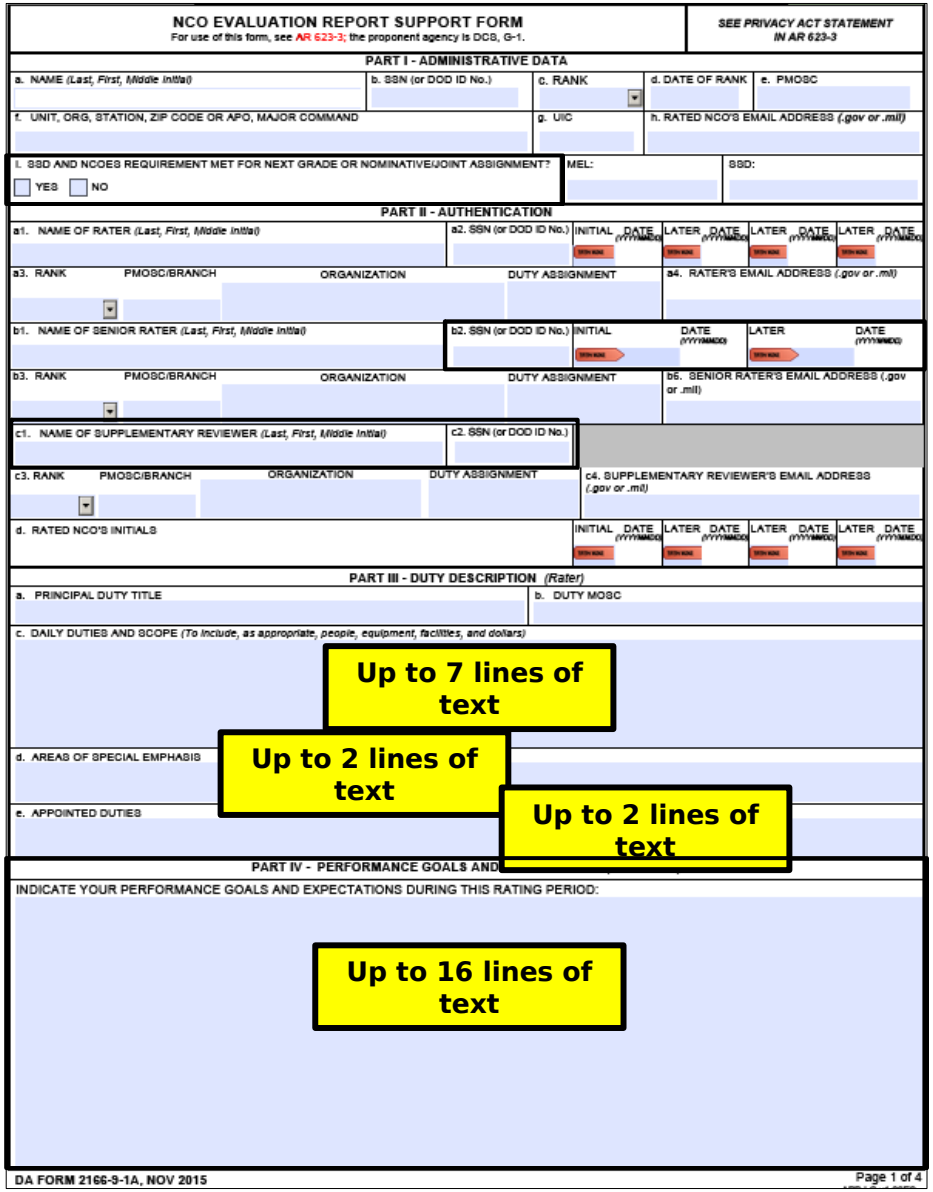
Leadership Role

- Conduct leader development programs
  - ADRP 6-22 Attributes & Competencies
  - Senior Rater Profile Management / Philosophy
  - Effective Writing with focus on Senior Rater narrative
- Establish/approve rating scheme IAW AR 623-3
- Prohibit pooling
- Socialize the DA Form 2166-9 series for greater understanding and support of the new evaluation
- Emphasize the positive aspects of DA Form 2166-9 series
  - Prevents inflation
  - Identifies the very best for promotion
  - Increases accountability
  - Removes one size fits all concept

NCOER Support Form – Page 1

- **Part I –** SSD and NCOES requirement met for next grade
- **Part II –** Senior Rater annotates counseling dates
- **Part II –** Supplementary Reviewer, if required
- **Part IV –** Rated NCO provides goals and expectations

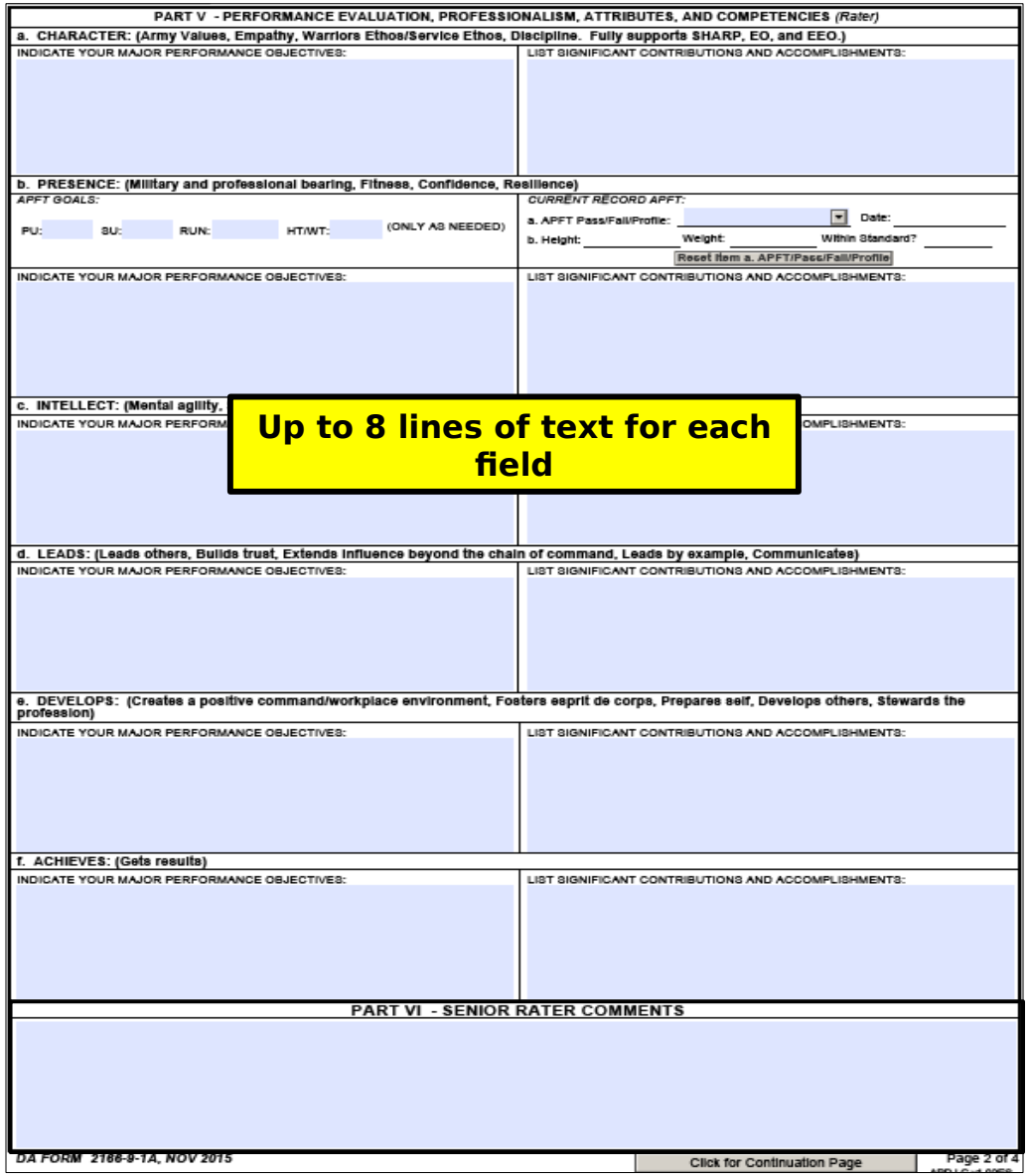
DA Pam 623-3, para 3-1


NCO EVALUATION REPORT SUPPORT FORM
For use of this form, see AR 623-3; the proponent agency is DCS, G-1.
SEE PRIVACY ACT STATEMENT IN AR 623-3
PART I - ADMINISTRATIVE DATA
PART II - AUTHENTICATION
PART III - DUTY DESCRIPTION (Rater)
PART IV - PERFORMANCE GOALS AND
INDICATE YOUR PERFORMANCE GOALS AND EXPECTATIONS DURING THIS RATING PERIOD:
Up to 7 lines of text
Up to 2 lines of text
Up to 2 lines of text
Up to 16 lines of text
DA FORM 2166-9-1A, NOV 2015
Page 1 of 4

NCOER Support Form – Page 2

- **Part V –** Attributes and Competencies (ADP 6-22)
- **CHARACTER:** Rater assesses the rated NCO's performance in fostering a climate of dignity and respect and adhering to the requirements of the SHARP Program.
- **Part VI –** Senior Rater p

DA Pam 623-3, para 3-1


PART V - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES *(Rater)*

a. CHARACTER: (Army Values, Empathy, Warriors Ethos/Service Ethos, Discipline. Fully supports SHARP, EO, and EEO.)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: | LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

b. PRESENCE: (Military and professional bearing, Fitness, Confidence, Resilience)

APFT GOALS: PU: SU: RUN: HT/WT: (ONLY AS NEEDED)

CURRENT RECORD APFT: a. APFT Pass/Fail/Profile: Date: b. Height: Weight: Within Standard?

Reset item a. APFT/Pass/Fail/Profile

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: | LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

c. INTELLECT: (Mental agility,

INDICATE YOUR MAJOR PERFORM | OMPLISHMENTS:

Up to 8 lines of text for each field

d. LEADS: (Leads others, Builds trust, Extends influence beyond the chain of command, Leads by example, Communicates)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: | LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

e. DEVELOPS: (Creates a positive command/workplace environment, Fosters esprit de corps, Prepares self, Develops others, Stewards the profession)

INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: | LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

f. ACHIEVES: (Gets results)

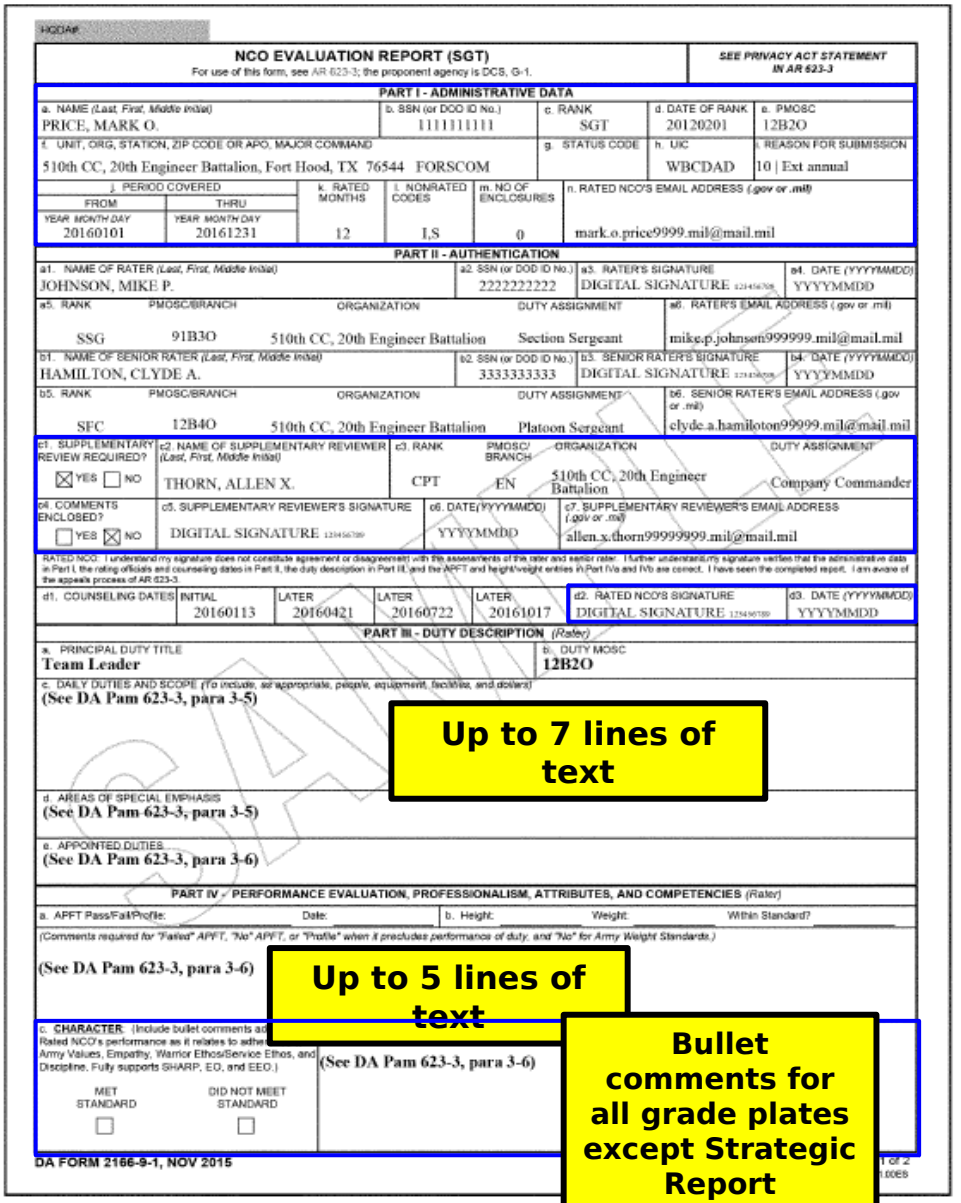
INDICATE YOUR MAJOR PERFORMANCE OBJECTIVES: | LIST SIGNIFICANT CONTRIBUTIONS AND ACCOMPLISHMENTS:

PART VI - SENIOR RATER COMMENTS

DA FORM 2166-9-1A, NOV 2015 | Click for Continuation Page | Page 2 of 4

DA Form 2166-9 Series Front Page

- Administrative data is the same for all reports
- Supplementary Reviewer required when the Senior Rater is a 1LT and below and in certain situations
- Part II, block d2 – Rated NCO's signature verifies seeing the report and the accuracy of administrative data in Part I, rating chain and counseling dates in Part II, duty description in Part III, and APFT and HT/WT data in Part IV
- Part IV
  - Bullet comments for Direct- and Organizational-level reports



NCO EVALUATION REPORT (SGT)

For use of this form, see AR 623-3; the proponent agency is DCS, G-1.

SEE PRIVACY ACT STATEMENT IN AR 623-3

PART I - ADMINISTRATIVE DATA

a. NAME (Last, First, Middle Initial)	b. SSN (or DOD ID No.)	c. RANK	d. DATE OF RANK	e. PMOSC
PRICE, MARK O.	1111111111	SGT	20120201	12B2O

f. UNIT, ORG, STATION, ZIP CODE OR APO, MAJOR COMMAND	g. STATUS CODE	h. UIC	i. REASON FOR SUBMISSION
510th CC, 20th Engineer Battalion, Fort Hood, TX 76544 FORSCOM		WBCDAD	10 | Ext annual

j. PERIOD COVERED FROM (YEAR MONTH DAY)	THRU (YEAR MONTH DAY)	k. RATED MONTHS	l. NONRATED CODES	m. NO OF ENCLOSURES	n. RATED NCO'S EMAIL ADDRESS (.gov or .mil)
20160101	20161231	12	I,S	0	mark.o.price9999.mil@mail.mil

PART II - AUTHENTICATION

a1. NAME OF RATER (Last, First, Middle Initial)	a2. SSN (or DOD ID No.)	a3. RATER'S SIGNATURE	a4. DATE (YYYYMMDD)
JOHNSON, MIKE P.	2222222222	DIGITAL SIGNATURE	YYYYMMDD

a5. RANK	PMOSC/BRANCH	ORGANIZATION	DUTY ASSIGNMENT	a6. RATER'S EMAIL ADDRESS (.gov or .mil)
SSG	91B3O	510th CC, 20th Engineer Battalion	Section Sergeant	mike.p.johnson999999.mil@mail.mil

b1. NAME OF SENIOR RATER (Last, First, Middle Initial)	b2. SSN (or DOD ID No.)	b3. SENIOR RATER'S SIGNATURE	b4. DATE (YYYYMMDD)
HAMILTON, CLYDE A.	3333333333	DIGITAL SIGNATURE	YYYYMMDD

b5. RANK	PMOSC/BRANCH	ORGANIZATION	DUTY ASSIGNMENT	b6. SENIOR RATER'S EMAIL ADDRESS (.gov or .mil)
SFC	12B4O	510th CC, 20th Engineer Battalion	Platoon Sergeant	clyde.a.hamiloton99999.mil@mail.mil

c1. SUPPLEMENTARY REVIEW REQUIRED?	c2. NAME OF SUPPLEMENTARY REVIEWER (Last, First, Middle Initial)	c3. RANK	PMOSC/BRANCH	ORGANIZATION	DUTY ASSIGNMENT
☒ YES ☐ NO	THORN, ALLEN X.	CPT	EN	510th CC, 20th Engineer Battalion	Company Commander

c4. COMMENTS ENCLOSED?	c5. SUPPLEMENTARY REVIEWER'S SIGNATURE	c6. DATE (YYYYMMDD)	c7. SUPPLEMENTARY REVIEWER'S EMAIL ADDRESS (.gov or .mil)
☐ YES ☒ NO	DIGITAL SIGNATURE	YYYYMMDD	allen.x.thorn99999999.mil@mail.mil

RATED NCO: I understand my signature does not constitute agreement or disagreement with the assessments of the rater and senior rater. I further understand my signature verifies that the administrative data in Part I, the rating officials and counseling dates in Part II, the duty description in Part III, and the APFT and height/weight entries in Part IVa and IVb are correct. I have seen the completed report. I am aware of the appeals process of AR 623-3.

d1. COUNSELING DATES	INITIAL	LATER	LATER	LATER	d2. RATED NCO'S SIGNATURE	d3. DATE (YYYYMMDD)
	20160113	20160421	20160722	20161017	DIGITAL SIGNATURE	YYYYMMDD

PART III - DUTY DESCRIPTION (Rater)

a. PRINCIPAL DUTY TITLE	b. DUTY MOSC
Team Leader	12B2O

c. DAILY DUTIES AND SCOPE (To include, as appropriate, people, equipment, facilities, and dollars)
(See DA Pam 623-3, para 3-5)

Up to 7 lines of text

d. AREAS OF SPECIAL EMPHASIS
(See DA Pam 623-3, para 3-5)

e. APPOINTED DUTIES
(See DA Pam 623-3, para 3-6)

PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)

a. APFT Pass/Fail/Profile: Date: b. Height: Weight: Within Standard?

(Comments required for "Failed" APFT, "No" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards.)

(See DA Pam 623-3, para 3-6)

Up to 5 lines of text

c. CHARACTER (Include bullet comments ad... Rated NCO's performance as it relates to adhe... Army Values, Empathy, Warrior Ethos/Service Ethos, and Discipline. Fully supports SHARP, EO, and EEO.)

(See DA Pam 623-3, para 3-6)

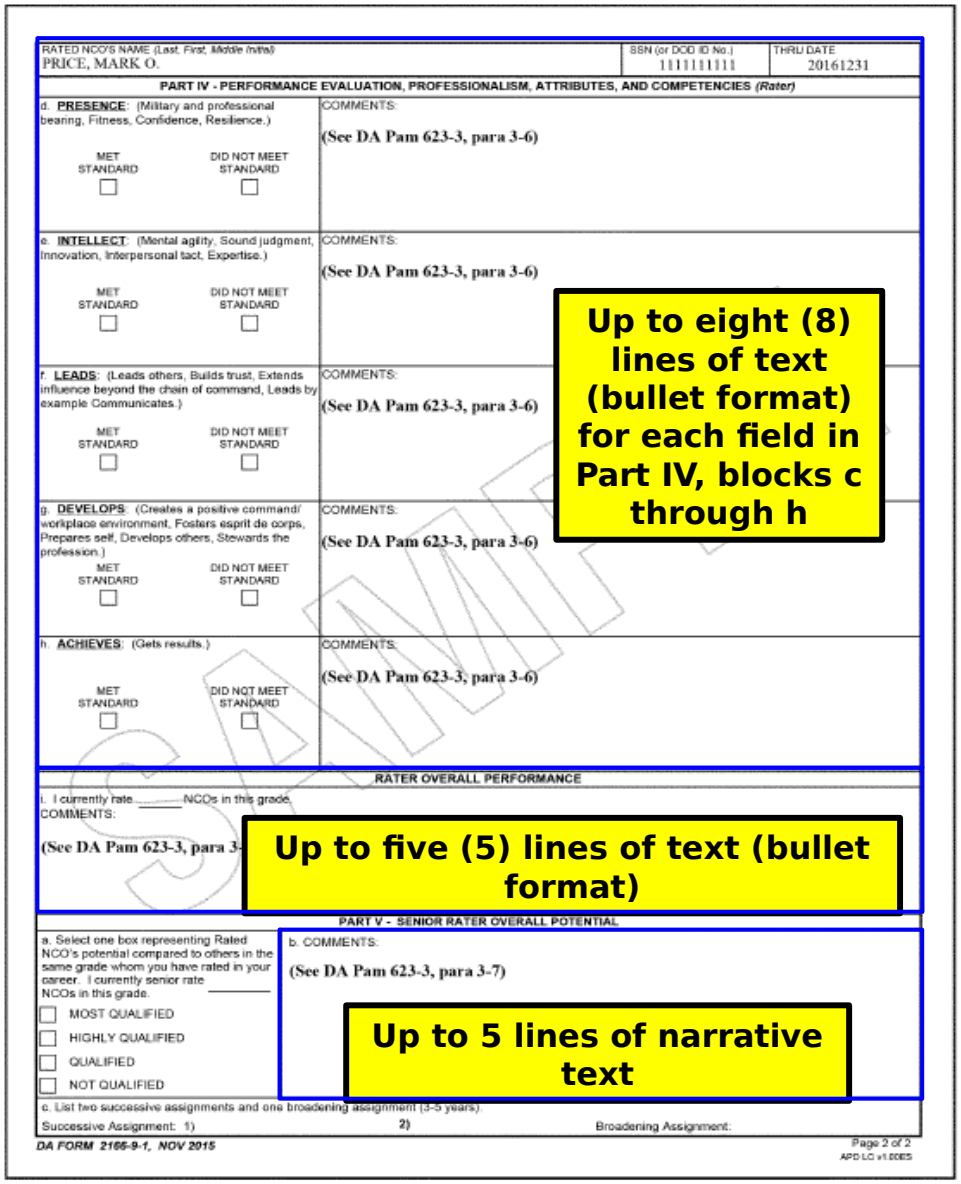
Bullet comments for all grade plates except Strategic Report

MET STANDARD	DID NOT MEET STANDARD
☐	☐

DA FORM 2166-9-1, NOV 2015

Direct-level Report (SGT) – Page 2

- Focuses on proficiency and is developmental in nature; aligns with Army Leadership Doctrine
- Assessment based on 2-box scale
  - MET STANDARD
  - DID NOT MEET STANDARD
- Rater – bullet format
- Unconstrained Senior Rater box check
- Senior Rater – narrative format


RATED NCO'S NAME (Last, First, Middle Initial): PRICE, MARK O.
SSN (or DOD ID No.): 1111111111
THRU DATE: 20161231

PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)

d. PRESENCE: (Military and professional bearing, Fitness, Confidence, Resilience.) MET STANDARD ☐ DID NOT MEET STANDARD ☐ COMMENTS: (See DA Pam 623-3, para 3-6)

e. INTELLECT: (Mental agility, Sound judgment, Innovation, Interpersonal tact, Expertise.) MET STANDARD ☐ DID NOT MEET STANDARD ☐ COMMENTS: (See DA Pam 623-3, para 3-6)

f. LEADS: (Leads others, Builds trust, Extends influence beyond the chain of command, Leads by example Communicates.) MET STANDARD ☐ DID NOT MEET STANDARD ☐ COMMENTS: (See DA Pam 623-3, para 3-6)

g. DEVELOPS: (Creates a positive command/ workplace environment, Fosters esprit de corps, Prepares self, Develops others, Stewards the profession.) MET STANDARD ☐ DID NOT MEET STANDARD ☐ COMMENTS: (See DA Pam 623-3, para 3-6)

h. ACHIEVES: (Gets results.) MET STANDARD ☐ DID NOT MEET STANDARD ☐ COMMENTS: (See DA Pam 623-3, para 3-6)

Up to eight (8) lines of text (bullet format) for each field in Part IV, blocks c through h

RATER OVERALL PERFORMANCE

i. I currently rate _____ NCOs in this grade.
COMMENTS: (See DA Pam 623-3, para 3-

Up to five (5) lines of text (bullet format)

PART V - SENIOR RATER OVERALL POTENTIAL

a. Select one box representing Rated NCO's potential compared to others in the same grade whom you have rated in your career. I currently senior rate _____ NCOs in this grade.
☐ MOST QUALIFIED
☐ HIGHLY QUALIFIED
☐ QUALIFIED
☐ NOT QUALIFIED

b. COMMENTS: (See DA Pam 623-3, para 3-7)

Up to 5 lines of narrative text

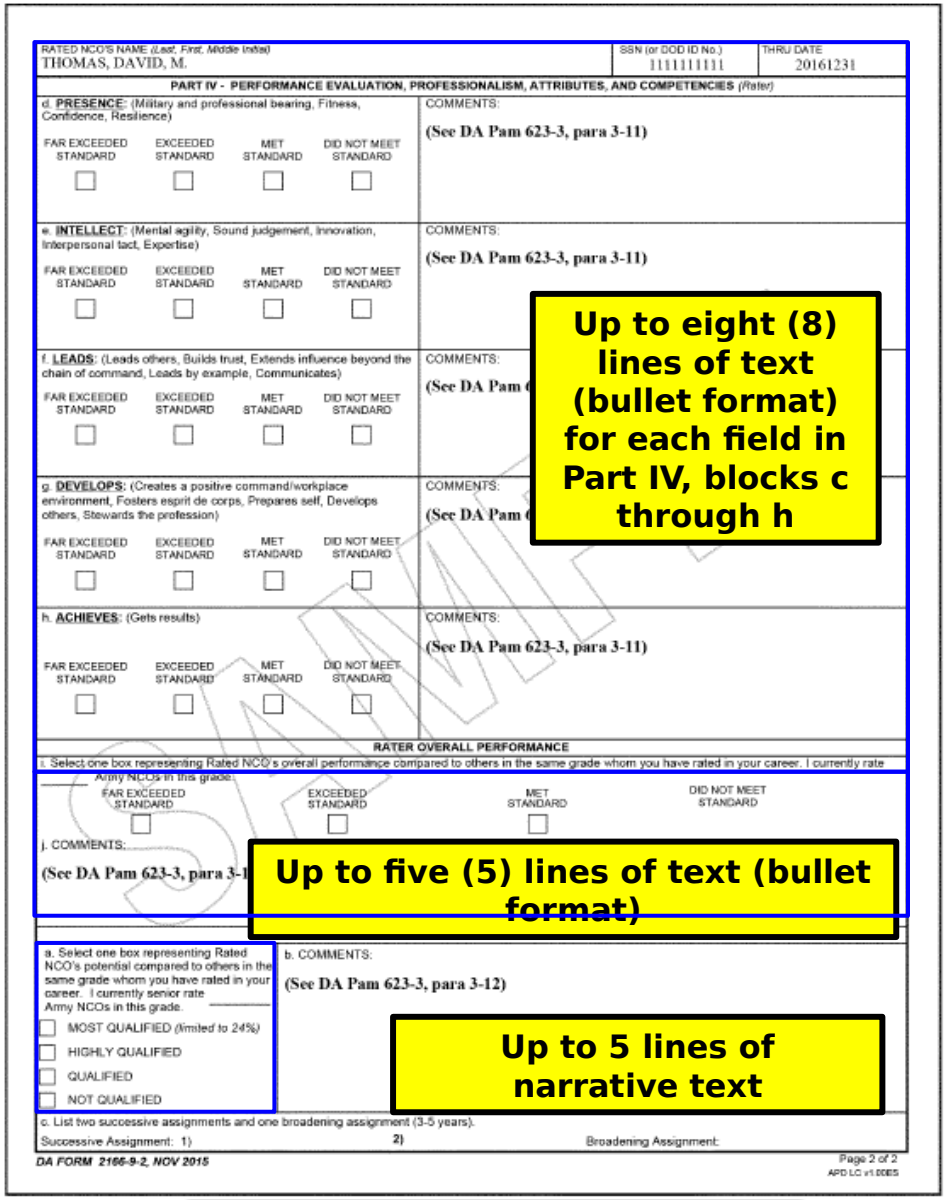
c. List two successive assignments and one broadening assignment (3-5 years).
Successive Assignment: 1) 2) Broadening Assignment:

DA FORM 2166-9-1, NOV 2015 Page 2 of 2 APD LC v1.00ES

SAMPLE

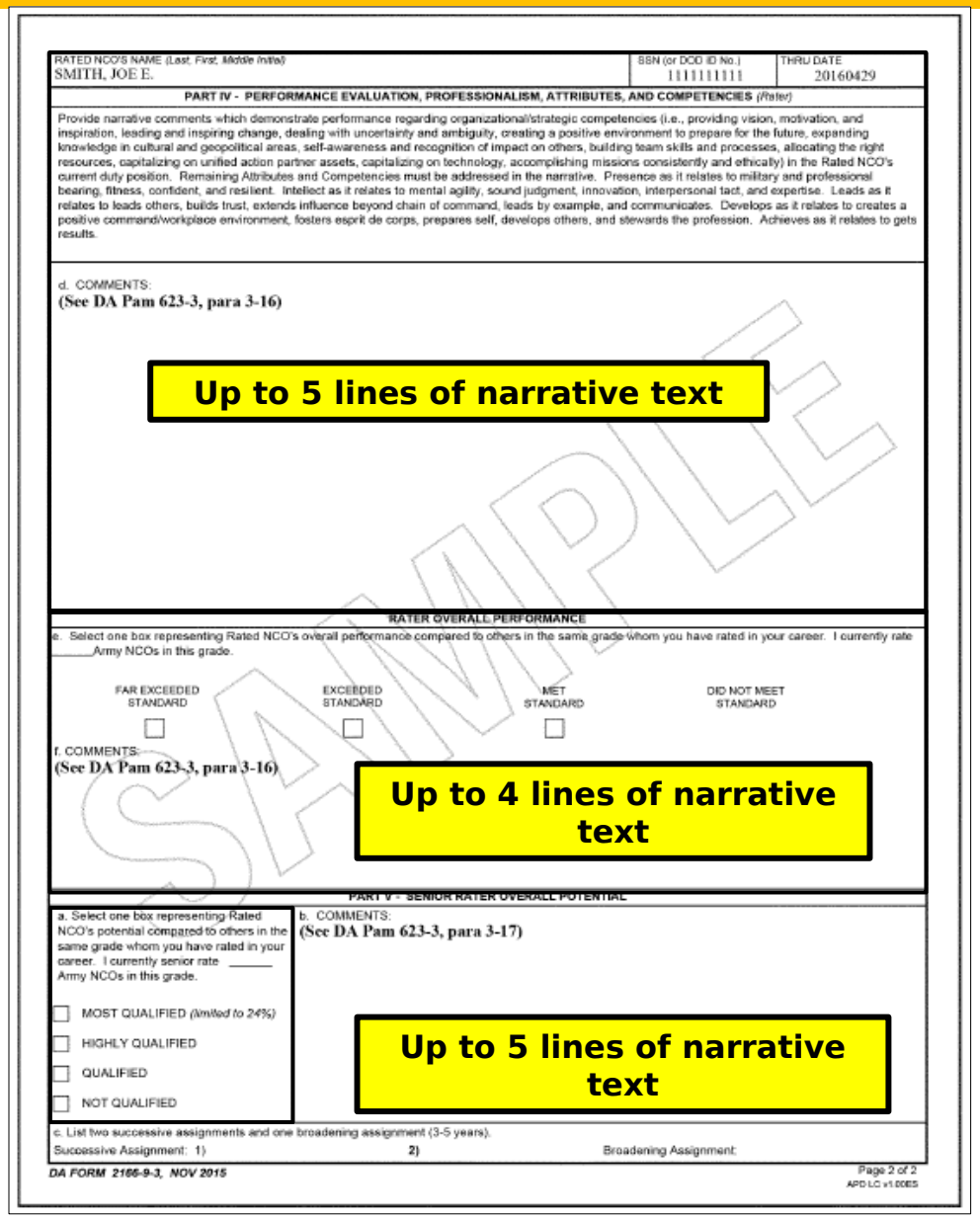
Organizational-level (SSG-1SG/MSG) – Page 2

- Focuses on organizational systems and processes; aligns with Army Leadership Doctrine
- Rater – bullet format
- Senior Rater – Narrative format
- Assessment based on 4-box scale
  - FAR EXCEEDED STANDARD
  - EXCEEDED STANDARD
  - MET STANDARD
  - DID NOT MEET STANDARD
- Unconstrained Rater Tendency
- Constrained Senior Rater Profile (limited to 24% for "Most Qualified" selection); no credit applied


RATED NCO'S NAME (Last, First, Middle Initial)
THOMAS, DAVID, M.
SSN (or DOD ID No.)
1111111111
THRU DATE
20161231
PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)
d. PRESENCE: (Military and professional bearing, Fitness, Confidence, Resilience)
e. INTELLECT: (Mental agility, Sound judgement, Innovation, Interpersonal tact, Expertise)
f. LEADS: (Leads others, Builds trust, Extends influence beyond the chain of command, Leads by example, Communicates)
g. DEVELOPS: (Creates a positive command/workplace environment, Fosters esprit de corps, Prepares self, Develops others, Stewards the profession)
h. ACHIEVES: (Gets results)
FAR EXCEEDED STANDARD
EXCEEDED STANDARD
MET STANDARD
DID NOT MEET STANDARD
COMMENTS:
(See DA Pam 623-3, para 3-11)
Up to eight (8) lines of text (bullet format) for each field in Part IV, blocks c through h
RATER OVERALL PERFORMANCE
i. Select one box representing Rated NCO's overall performance compared to others in the same grade whom you have rated in your career. I currently rate ____ Army NCOs in this grade.
j. COMMENTS:
(See DA Pam 623-3, para 3-12)
Up to five (5) lines of text (bullet format)
a. Select one box representing Rated NCO's potential compared to others in the same grade whom you have rated in your career. I currently senior rate ____ Army NCOs in this grade.
MOST QUALIFIED (limited to 24%)
HIGHLY QUALIFIED
QUALIFIED
NOT QUALIFIED
b. COMMENTS:
(See DA Pam 623-3, para 3-12)
Up to 5 lines of narrative text
c. List two successive assignments and one broadening assignment (3-5 years).
Successive Assignment: 1)
2)
Broadening Assignment:
DA FORM 2166-9-2, NOV 2015
Page 2 of 2
APD LC v1.00ES
SAMPLE

Strategic-level (CSM/SGM) – Page 2

- Focuses on large organizations and strategic initiatives; aligns with Army Leadership Doctrine
- Rater and Senior Rater – narrative format
- Rater Overall Performance is not limited
- Unconstrained Rater Tendency
- Senior Rater Profile (limited to 24% for "MOST QUALIFIED" selection); no credit applied
- "Silver Bullet" – only one of the first four reports may be "MOST QUALIFED"


RATED NCO'S NAME (Last, First, Middle Initial)
SMITH, JOE E.
SSN (or DOD ID No.)
1111111111
THRU DATE
20160429
PART IV - PERFORMANCE EVALUATION, PROFESSIONALISM, ATTRIBUTES, AND COMPETENCIES (Rater)
Provide narrative comments which demonstrate performance regarding organizational/strategic competencies (i.e., providing vision, motivation, and inspiration, leading and inspiring change, dealing with uncertainty and ambiguity, creating a positive environment to prepare for the future, expanding knowledge in cultural and geopolitical areas, self-awareness and recognition of impact on others, building team skills and processes, allocating the right resources, capitalizing on unified action partner assets, capitalizing on technology, accomplishing missions consistently and ethically) in the Rated NCO's current duty position. Remaining Attributes and Competencies must be addressed in the narrative. Presence as it relates to military and professional bearing, fitness, confident, and resilient. Intellect as it relates to mental agility, sound judgment, innovation, interpersonal tact, and expertise. Leads as it relates to leads others, builds trust, extends influence beyond chain of command, leads by example, and communicates. Develops as it relates to creates a positive command/workplace environment, fosters esprit de corps, prepares self, develops others, and stewards the profession. Achieves as it relates to gets results.
d. COMMENTS:
(See DA Pam 623-3, para 3-16)
Up to 5 lines of narrative text
RATER OVERALL PERFORMANCE
e. Select one box representing Rated NCO's overall performance compared to others in the same grade whom you have rated in your career. I currently rate _____ Army NCOs in this grade.
FAR EXCEEDED STANDARD
EXCEEDED STANDARD
MET STANDARD
DID NOT MEET STANDARD
f. COMMENTS:
(See DA Pam 623-3, para 3-16)
Up to 4 lines of narrative text
PART V - SENIOR RATER OVERALL POTENTIAL
a. Select one box representing Rated NCO's potential compared to others in the same grade whom you have rated in your career. I currently senior rate _____ Army NCOs in this grade.
MOST QUALIFIED (limited to 24%)
HIGHLY QUALIFIED
QUALIFIED
NOT QUALIFIED
b. COMMENTS:
(See DA Pam 623-3, para 3-17)
Up to 5 lines of narrative text
c. List two successive assignments and one broadening assignment (3-5 years).
Successive Assignment: 1)
2)
Broadening Assignment:
DA FORM 2166-9-3, NOV 2015
Page 2 of 2
APD LC v1.00ES
SAMPLE

Far Exceeded Standards

(applies to Organizational and Strategic-level NCOERs)

FAR EXCEEDED STANDARD	Bullet Examples
Rated NCO performs extraordinarily above the required Army standards and organizational goals of leader competencies and attributes; leadership enables Soldiers and unit to far surpass required organizational and Army standards; demonstrated performance epitomizes excellence in all aspects; this NCO and his/her Soldiers consistently take disciplined initiative in applying leader competencies and attributes; results have an immediate impact and enduring effect on the mission, their Soldiers, the unit, and the Army; **demonstrated by the best of the upper third of NCOs of**	▪ placed 1st of 23 teams in the recent LTG David E. Grange Jr. Best Ranger Competition ▪ nominated and selected over 11 senior NCOs to serve as the Army Corrections Command Operations Sergeant ▪ selected as the Secretary of the Army Career Counselor of the Year; incomparable retention knowledge ▪ expertly led his/her SGLs to earn an Institute of Excellence rating within eight months of arrival ▪ selected by Corps/Division G-1 as the best Brigade S-1 within area of responsibility

Exceeds Standards

(applies to Organizational and Strategic-level NCOERs)

EXCEEDED STANDARD	Bullet Examples
Rated NCO performs above the required Army standards and organizational goals of leader competencies and attributes; this NCO and his/her Soldiers often take disciplined initiative in applying leader competencies and attributes; results have an immediate impact on the mission, their Soldiers, the unit, and the Army; this level of performance is not common, **typically demonstrated by the upper third of NCOs of the same**	▪ mentored two squad members to be inducted into the Sergeant Audie Murphy Club ▪ graduated from M1A2/MGS/Bradley Master Gunner's Course ▪ scored 2+/2+ on the Defense Language Proficiency Test (DLPT); surpassed Army standard in a Category IV language ▪ recognized with the Military Outstanding Volunteer Service Medal for volunteering over 100 hours with local community ▪ selected over eight seniors and 15 peers by the Deputy Commanding General to serve as Master Driver

Met Standard

(applies to all Grade Plate NCOERs)

MET STANDARD	Bullet Examples
Rated NCO successfully achieves and maintains the required Army standards and organizational goals of leader competencies and attributes; effectively meets and enforces the standard for the unit and those in his/her charge; succeeds by taking appropriate initiative in applying the leader competencies and attributes; results have a positive impact on the mission, their Soldiers, the unit, and the Army; this level of performance is considered normal and **typically demonstrated by a**	▪ established a workplace environment and overall command climate that fostered dignity and respect for all team members ▪ scored 263 on last APFT helping company to achieve a 250 average ▪ assisted in the weapons qualification of 200 Soldiers throughout the battalion ▪ developed a strong priority work plan and anticipated constant change; successfully completed all missions ▪ developed several SOPs that

Did Not Meet Standard

(applies to all Grade Plate NCOERs)

DID NOT MEET STANDARD	Bullet Examples
Rated NCO fails to meet or maintain the required Army standards and organizational goals of leader competencies and attributes; does not enforce or meet the standard for the unit or those in his/her charge; exhibits/displays minimal or no effort; actions often have a negative effect on	▪ failed to consistently adhere to rules, regulations, or standard operating procedures ▪ demonstrated no concern for security and accountability of sensitive items ▪ displayed meager enthusiasm and optimism; his/her actions discouraged others to develop and reach their full potential ▪ failed to maintain accountability of Soldiers under his supervision; fabricated status reports ▪ declined to address subordinate's request for assistance with personal issues

Rater Tendency Label

(applies to SSG-CSM/SGM)

RATER OVERALL PERFORMANCE

i. Select one box representing Rated NCO's overall performance compared to others in the same grade whom you have rated in your career. I currently rate **6** NCOs in this grade.

FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
☐	☐	☒	☐
2	3	6	1

Total Ratings: 12

j. COMMENTS:

o #3 of 6 SFCs that I currently rate

o executed every assignment and tasking with minimal guidance from the command

o strong performance from an outstanding NCO

Note: This is the Rater's "capstone" assessment of performance and opportunity to "stratify and quantify."

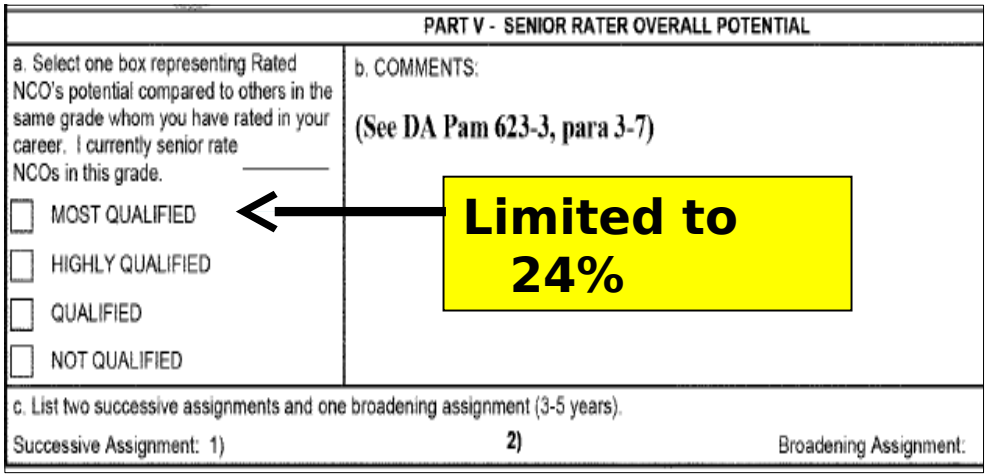
- Rater Tendency Label – the value below each box equals the overall history of those ratings in this grade and the rated NCO's overall performance compared to NCOs in same grade SSG-CSM/SGM

- Rater Tendency (i.e., rating history) will be imprinted on the NCOER and viewable within the Evaluation Entry System (EES) by the Rater's Rater and Senior Rater

- Emphasizes the following:
  - Importance of the Rater's role and responsibility to provide credible information to HQDA
  - Importance of a Rater's sequencing of NCOER submissions to avoid inflation
  - Provides information to HQDA Selection Boards and Army Leadership on the Rater's rating tendency

Senior Rater Assessment/Narrative (SSG-CSM/SGM)

- Selection boards should understand what input the Rating Chain is providing without having to guess
- Raters – focus on specifics to quantify and qualify performance
- Senior Raters
  - Amplify potential box checks by using the
  - narrative to capture the rating official's passion
  - (or lack thereof) for the Rated NCO
  - Reserve exclusive and strong narratives for the **very best** NCOs
  - Focus on the next 3-5 years (assignment, schooling, and promotion)
  - "HIGHLY QUALIFIED" box checks will be the **norm**
- Senior Rater's assessment of rated NCO's overall potential compared to NCOs in same grade
- Profile limited to 24%
- Only one of the first four NCOERs may be rated as Most Qualified ("Silver bullet")
- Narrative comment format



PART V - SENIOR RATER OVERALL POTENTIAL

a. Select one box representing Rated NCO's potential compared to others in the same grade whom you have rated in your career. I currently senior rate _____ NCOs in this grade.

- ☐ MOST QUALIFIED
- ☐ HIGHLY QUALIFIED
- ☐ QUALIFIED
- ☐ NOT QUALIFIED

b. COMMENTS:

(See DA Pam 623-3, para 3-7)

Limited to 24%

c. List two successive assignments and one broadening assignment (3-5 years).

Successive Assignment: 1) 2) Broadening Assignment:

Assessment of Overall Potential

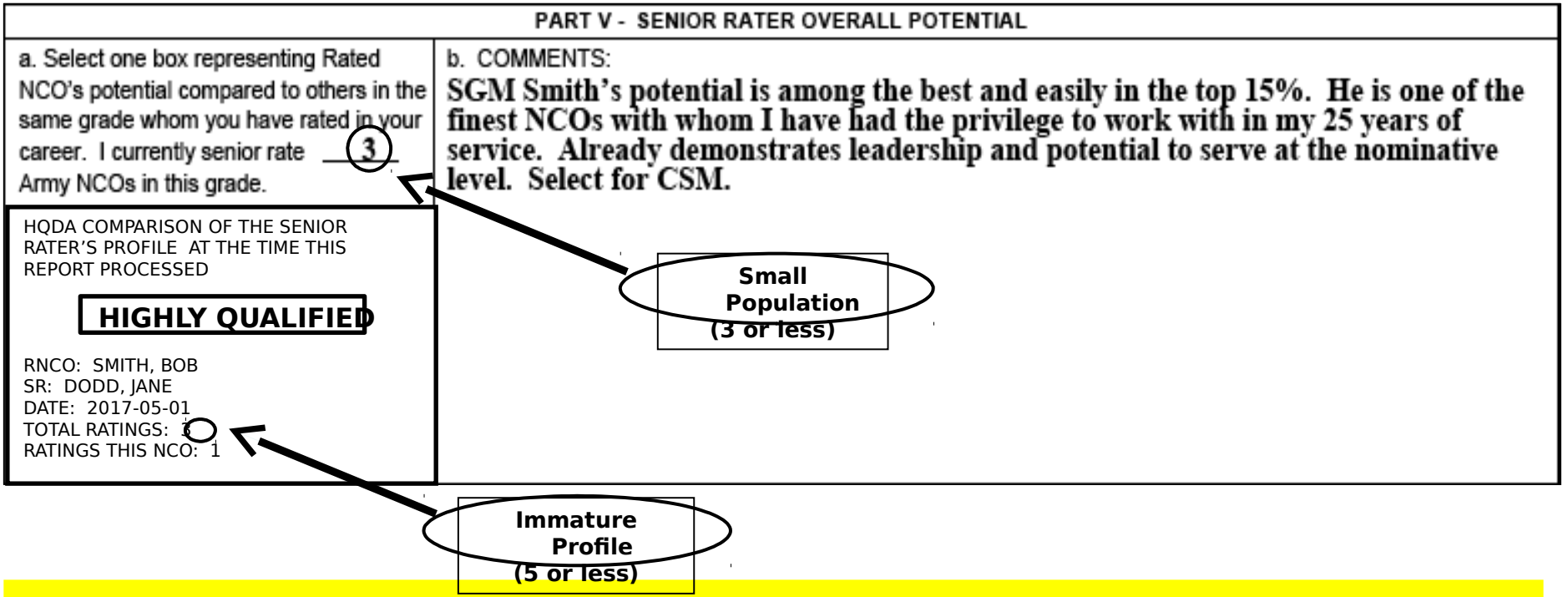
Most Qualified: Definitely select for higher levels of responsibilities; strong potential for selection in the secondary zone; potential ahead of peers; (limit to 24%)

Highly Qualified: Possesses the ability to perform at the next level of responsibility; strong potential for promotion with peers

Qualified: Capable of success at the next level; promote if able; retain at current level

Not Qualified: Needs improvement; not recommended for promotion; consider for separation

Immature Profile / Small Population


PART V - SENIOR RATER OVERALL POTENTIAL
a. Select one box representing Rated NCO's potential compared to others in the same grade whom you have rated in your career. I currently senior rate 3 Army NCOs in this grade.
b. COMMENTS:
SGM Smith's potential is among the best and easily in the top 15%. He is one of the finest NCOs with whom I have had the privilege to work with in my 25 years of service. Already demonstrates leadership and potential to serve at the nominative level. Select for CSM.
HQDA COMPARISON OF THE SENIOR RATER'S PROFILE AT THE TIME THIS REPORT PROCESSED
HIGHLY QUALIFIED
RNCO: SMITH, BOB
SR: DODD, JANE
DATE: 2017-05-01
TOTAL RATINGS: 5
RATINGS THIS NCO: 1
Small Population (3 or less)
Immature Profile (5 or less)

Future Guidance to DA Centralized Selection Boards for the New NCOER

- Check DA Label: "Total Ratings" (5 or less = immature profile)
- Check Part Va – same grade in population (3 or less = small population)
- **Expect** "HIGHLY QUALIFIED" assessment if immature profile and/or small population exists
- Focus on Senior Rater's narrative

Summary

- The Evaluation Reporting System (ERS)
- Rating chain qualifications and responsibilities
- Counseling requirements
- Types of evaluations
- Redress Program
- S-1 Responsibilities
- ERS points of contact

Officer Evaluation Reports

OER Background

Senior Leader focus for Evaluation Review

- Re-establish the company grade box check
- Reduce the frequency of reports
- Establish and enforce rater accountability
- Strengthens relationship to leadership doctrine (ADRP 6-22)
- Incorporate ability to document, “data mine” and identify talent
- Address the “one size may not fit all” assessment of different skills and competencies at different grades
- Keep the OER relevant and adaptive
- Ensure responsibilities are clearly defined and vested with appropriate individuals
- Identify clear standards to assist raters with

Informed By:

- 36th and 37th CSA framing guidance
- Other Services and Industry review
- Officer Selection Board AARs
- Profession of Arms Forum
- OPMS CoCs and GOSCs
- Army White Paper, The Profession of Arms
- Army Leader Development Strategy
- ADRP 6-22

OER remains the primary tool documenting officer performance and potential

Strengthening the Rating Chain

- **Strengthens accountability** within the members of a rating chain to maintain relationships that provide rated officers with leaders who have first-hand knowledge of their responsibilities, **performance and potential**.

- Allows commanders and senior leaders to be responsible for designating rating schemes / approved one level up (up to 3-Star HQ)

- Intermediate Raters limited to special branches and dual supervisor situations

- Supplementary Review: In instances when there are no uniformed Army designated rating officials for the Rated Officer, an Army Officer within the organization will be designated as a Uniformed Army Advisor and perform a supplementary review.

- The Uniformed Army Advisor will be an U.S. Army officer, normally senior to the senior rater, within the organization.

- The Uniformed Army advisor will monitor evaluation practices, provide assistance and advice to rating officials (as required) on matters pertaining to Army evaluations.
    - Applies in Joint Environments
    - Applies where DoD and DA Civilians serve as Rater and Senior Rater

Evaluation Narrative

- Selection boards should not have to guess – Send a clear message
- Raters: Quantify and Qualify **performance**
- Senior raters: Amplify **potential** box check with narrative/bullets
- Quantify and qualify:
  - An exclusive narrative clearly describes superior performance/potential (i.e. My best, 2 out of 10, my #1 pick for BN CMD, SGM, MSG, definitely promote BZ, etc.,)
  - A strong narrative describes significant performance and enthusiastically recommend promotion (i.e. Outstanding performance, one of my best, definitely promote)
  - Be aware of box check and narrative signal/consistency
- Be careful:
  - What is not said can have the same impact as what is
  - Don’t say the same thing for all your people
  - Avoid using the same verbiage year to year for the same officer
  - Accurately and fairly assess regardless of branch and functional area

Senior Rater Narratives

- **Mission: Identify the best**

- Should **quantify and qualify** the passion (or lack thereof) that the senior rater has for rated officer's potential

- Focus on potential *(3 to 5 years; command, assignment, schooling and promotion)*

- **Correspond comments with box check when required**

- Cannot mention box check

- Be fair and honest, communicates philosophy, and

Successive vs. Future Assignments

- By using the term to ***Successive*** assignments, intent is for Senior Raters to:
  - Focus on rated officer ***current grade*** and ***career path***
  - Suggest three successive assignments which would be appropriate looking ***3-5 years out***

- Successive assignments eliminates looking too far into the future
- Should be limited to those ***relevant to*** the rated officer's ***career path***.
- Should ***not*** be used to recommend Branch Transfer.

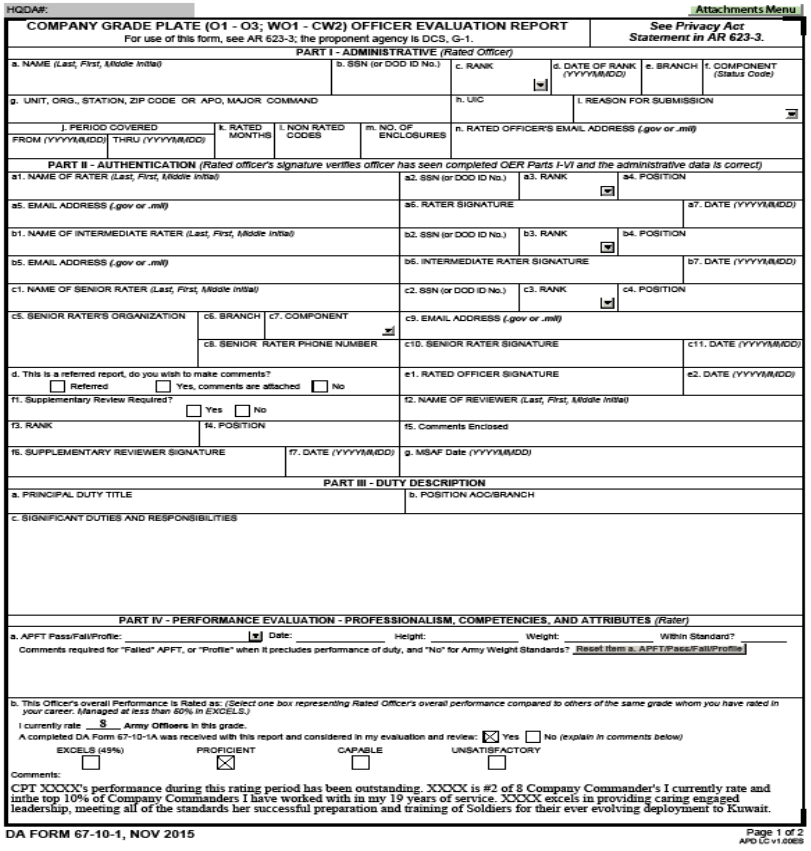
Company Grade Form (Front)

Rater

- Administrative data remains consist with the old OER (67-9)
- Highlights the need for a supplementary reviewer is required by updated AR / DA PAM 623-3
- Addresses the completion of the multi-source assessment feedback
- Rater's comments pertaining to APFT move to page 1
- Performance block checks and the Rater's overall performance assessment (4 lines of text)
- Focused on Attributes and Competencies (6-22)
- Character (4 lines of text)
- Presence (4 lines of text)
- Intellect (4 lines of text)
- Leads (4 lines of text)
- Develops (4 lines of text)
- Achieves (4 lines of text)

Senior Rater

- Senior Rater block checks redefined to better identify leader potential: MOST QUALIFIED, HIGHLY QUALIFIED, QUALIFIED, and NOT QUALIFIED (5 lines of text)



HQDA#: Attachments Menu

COMPANY GRADE PLATE (O1 - O3; WO1 - CW2) OFFICER EVALUATION REPORT
For use of this form, see AR 623-3; the proponent agency is DCS, G-1.
See Privacy Act Statement in AR 623-3.

PART I - ADMINISTRATIVE *(Rated Officer)*

a. NAME *(Last, First, Middle Initial)* | b. SSN (or DOD ID No.) | c. RANK | d. DATE OF RANK *(YYYYMMDD)* | e. BRANCH | f. COMPONENT *(Status Code)*
g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND | h. UIC | i. REASON FOR SUBMISSION
j. PERIOD COVERED FROM *(YYYYMMDD)* THRU *(YYYYMMDD)* | k. RATED MONTHS | l. NON RATED CODES | m. NO. OF ENCLOSURES | n. RATED OFFICER'S EMAIL ADDRESS *(.gov or .mil)*

PART II - AUTHENTICATION *(Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)*

a1. NAME OF RATER *(Last, First, Middle Initial)* | a2. SSN (or DOD ID No.) | a3. RANK | a4. POSITION
a5. EMAIL ADDRESS *(.gov or .mil)* | a6. RATER SIGNATURE | a7. DATE *(YYYYMMDD)*
b1. NAME OF INTERMEDIATE RATER *(Last, First, Middle Initial)* | b2. SSN (or DOD ID No.) | b3. RANK | b4. POSITION
b5. EMAIL ADDRESS *(.gov or .mil)* | b6. INTERMEDIATE RATER SIGNATURE | b7. DATE *(YYYYMMDD)*
c1. NAME OF SENIOR RATER *(Last, First, Middle Initial)* | c2. SSN (or DOD ID No.) | c3. RANK | c4. POSITION
c5. SENIOR RATER'S ORGANIZATION | c6. BRANCH | c7. COMPONENT | c9. EMAIL ADDRESS *(.gov or .mil)*
c8. SENIOR RATER PHONE NUMBER | c10. SENIOR RATER SIGNATURE | c11. DATE *(YYYYMMDD)*
d. This is a referred report, do you wish to make comments? ☐ Referred ☐ Yes, comments are attached ☐ No | e1. RATED OFFICER SIGNATURE | e2. DATE *(YYYYMMDD)*
f1. Supplementary Review Required? ☐ Yes ☐ No | f2. NAME OF REVIEWER *(Last, First, Middle Initial)*
f3. RANK | f4. POSITION | f5. Comments Enclosed
f6. SUPPLEMENTARY REVIEWER SIGNATURE | f7. DATE *(YYYYMMDD)* | g. MSAF Date *(YYYYMMDD)*

PART III - DUTY DESCRIPTION

a. PRINCIPAL DUTY TITLE | b. POSITION ADC/BRANCH
c. SIGNIFICANT DUTIES AND RESPONSIBILITIES

PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES *(Rater)*

a. APFT Pass/Fail/Profile: _____ Date: _____ Height: _____ Weight: _____ Within Standard? _____
Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards? Reset item a. APFT/Pass/Fail/Profile

b. This Officer's overall Performance is Rated as: *(Select one box representing Rated Officer's overall performance compared to others of the same grade whom you have rated in your career. Managed at less than 60% in EXCELS.)*
I currently rate 8 Army Officers in this grade.
A completed DA Form 67-10-1A was received with this report and considered in my evaluation and review: ☒ Yes ☐ No *(explain in comments below)*

EXCELS (49%)	PROFICIENT	CAPABLE	UNSATISFACTORY
☐	☒	☐	☐

Comments:
CPT XXXX's performance during this rating period has been outstanding. XXXX is #2 of 8 Company Commander's I currently rate and inthe top 10% of Company Commanders I have worked with in my 19 years of service. XXXX excels in providing caring engaged leadership, meeting all of the standards her successful preparation and training of Soldiers for their ever evolving deployment to Kuwait.

DA FORM 67-10-1, NOV 2015 Page 1 of 2
APD LC v1.00ES

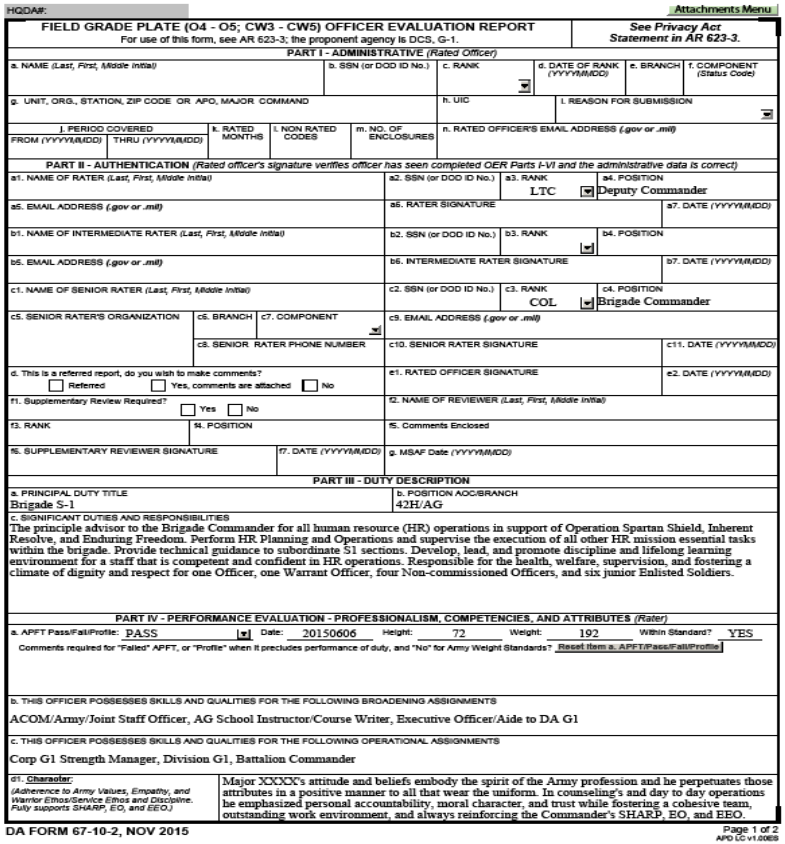
Field Grade Form

Rater

- Administrative data remains consist with the CO Grade evaluation
- Raters have the opportunity to comment on possible broadening and operational assignments
- Attribute of Character is highlighted on the Field Grade Form
- Rater comments on the Officer's performance against the Attributes and Competencies during the rating period **(5 lines of Text)**
- Box checking philosophy remain consistent; less than 50% EXCELS
- Rater's overall performance is further codified in the Comments section **(4 lines of Text)**

Senior Rater

- Comments on performance and potential: MOST QUALIFIED, HIGHLY QUALIFIED, QUALIFIED, and NOT QUALIFIED



HQDA#: Attachments Menu

FIELD GRADE PLATE (O4 - O5; CW3 - CW5) OFFICER EVALUATION REPORT
For use of this form, see AR 623-3; the proponent agency is DCS, G-1.
See Privacy Act Statement in AR 623-3.

PART I - ADMINISTRATIVE *(Rated Officer)*

a. NAME (*Last, First, Middle Initial*) | b. SSN (or DOD ID No.) | c. RANK | d. DATE OF RANK (*YYYYMMDD*) | e. BRANCH | f. COMPONENT (*Status Code*)

g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND | h. UIC | i. REASON FOR SUBMISSION

j. PERIOD COVERED FROM (*YYYYMMDD*) THRU (*YYYYMMDD*) | k. RATED MONTHS | l. NON RATED CODES | m. NO. OF ENCLOSURES | n. RATED OFFICER'S EMAIL ADDRESS (*.gov or .mil*)

PART II - AUTHENTICATION *(Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)*

a1. NAME OF RATER (*Last, First, Middle Initial*) | a2. SSN (or DOD ID No.) | a3. RANK: LTC | a4. POSITION: Deputy Commander
a5. EMAIL ADDRESS (*.gov or .mil*) | a6. RATER SIGNATURE | a7. DATE (*YYYYMMDD*)
b1. NAME OF INTERMEDIATE RATER (*Last, First, Middle Initial*) | b2. SSN (or DOD ID No.) | b3. RANK | b4. POSITION
b5. EMAIL ADDRESS (*.gov or .mil*) | b6. INTERMEDIATE RATER SIGNATURE | b7. DATE (*YYYYMMDD*)
c1. NAME OF SENIOR RATER (*Last, First, Middle Initial*) | c2. SSN (or DOD ID No.) | c3. RANK: COL | c4. POSITION: Brigade Commander
c5. SENIOR RATER'S ORGANIZATION | c6. BRANCH | c7. COMPONENT | c8. SENIOR RATER PHONE NUMBER | c9. EMAIL ADDRESS (*.gov or .mil*)
c10. SENIOR RATER SIGNATURE | c11. DATE (*YYYYMMDD*)
d. This is a referred report, do you wish to make comments? ☐ Referred ☐ Yes, comments are attached ☐ No | e1. RATED OFFICER SIGNATURE | e2. DATE (*YYYYMMDD*)
f1. Supplementary Review Required? ☐ Yes ☐ No | f2. NAME OF REVIEWER (*Last, First, Middle Initial*)
f3. RANK | f4. POSITION | f5. Comments Enclosed
f6. SUPPLEMENTARY REVIEWER SIGNATURE | f7. DATE (*YYYYMMDD*) | g. MSAF Date (*YYYYMMDD*)

PART III - DUTY DESCRIPTION

a. PRINCIPAL DUTY TITLE: Brigade S-1 | b. POSITION AOC/BRANCH: 42H/AG

c. SIGNIFICANT DUTIES AND RESPONSIBILITIES
The principle advisor to the Brigade Commander for all human resource (HR) operations in support of Operation Spartan Shield, Inherent Resolve, and Enduring Freedom. Perform HR Planning and Operations and supervise the execution of all other HR mission essential tasks within the brigade. Provide technical guidance to subordinate S1 sections. Develop, lead, and promote discipline and lifelong learning environment for a staff that is competent and confident in HR operations. Responsible for the health, welfare, supervision, and fostering a climate of dignity and respect for one Officer, one Warrant Officer, four Non-commissioned Officers, and six junior Enlisted Soldiers.

PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES *(Rater)*

a. APFT Pass/Fail/Profile: PASS | Date: 20150606 | Height: 72 | Weight: 192 | Within Standard? YES
Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards? Reset Item a. APFT/Pass/Fail/Profile

b. THIS OFFICER POSSESSES SKILLS AND QUALITIES FOR THE FOLLOWING BROADENING ASSIGNMENTS
ACOM/Army/Joint Staff Officer, AG School Instructor/Course Writer, Executive Officer/Aide to DA G1

c. THIS OFFICER POSSESSES SKILLS AND QUALITIES FOR THE FOLLOWING OPERATIONAL ASSIGNMENTS
Corp G1 Strength Manager, Division G1, Battalion Commander

d1. Character: *(Adherence to Army Values, Empathy, and Warrior Ethos/Service Ethos and Discipline. Fully supports SHARP, EO, and EEO.)*
Major XXXX's attitude and beliefs embody the spirit of the Army profession and he perpetuates those attributes in a positive manner to all that wear the uniform. In counseling's and day to day operations he emphasized personal accountability, moral character, and trust while fostering a cohesive team, outstanding work environment, and always reinforcing the Commander's SHARP, EO, and EEO.

DA FORM 67-10-2, NOV 2015 Page 1 of 2
APD LC v1.00.03

OER / NCOER Evaluation Narrative

- **OER (Implemented APR 2014)**
  - Bolsters the Rater's role and increases accountability; Rater profile assesses performance / Senior Rater assesses potential; Evaluate Officers on leadership attributes and competencies
  - Recommend Future **Operational** and **Broadening** Assignments
- **NCOER (Expected FY 16)**
  - Aligned with Doctrine (ADRP 6-22)
  - Increase accountability through Senior Rater Profile; a 25% top block; SSG to CSM
  - Revised counseling and support forms
- **Narrative**
  - Selection boards should not have to guess – Send a clear message
  - Senior raters: Amplify potential box check with narrative/bullets
  - Evaluations based on manner of performance and potential
  - Clear understanding by the rated Officer/NCO
  - **Must** Quantify and qualify:
    - Exclusive narrative clearly describes superior performance/potential (i.e. My best, 2 out of 10, my #1 pick for BN CMD, SGM, MSG, definitely promote BZ, etc.)
    - Strong narrative describes significant performance and enthusiastically recommend promotion (i.e. Outstanding performance, one of my best, definitely promote)
    - Maintain consistency through all evaluations

- Enumeration
- Performance
- Potential
- Schooling

- **Teach/Counsel/Mentor**
- **What is not said can have the same or more impact as what is**
- **Don't say the same thing for all your people**
- **Avoid using the same verbiage year-to-year for the same Officer/NCO**
- **Accurately and fairly assess regardless of branch and functional area**

Rater Box Check / Narrative

e. This Officer's Overall Performance is Rated as: (Select one box representing Rated Officer's overall performance compared to others of the same grade whom you have rated in your career. Managed at less than 50% in EXCELS.) I currently rate__9__ Army Officers in this grade.

EXCELS	PROFICIENT	CAPABLE	UNSATISFACTORY
49%			

Sample Comments:

EXCELS: MAJ Smith's is #1 of the 24 Majors I currently rate; his performance ranks within the top 2 of 65 of Majors with whom I've worked or encountered in over 22

Excels Defined:
These are Officers with exceptional ability to produce results that far surpass expectations. These Officers naturally demonstrate a high level of confidence to perform at the most demanding assignments. These Officers create opportunity through innovative approaches & their actions are enduring on mission, unit and beyond.

PROFICIENT: MAJ Smith performs within the "middle third" (ie.. #7,8,9,.. of 24) (or among the best) of the Majors I currently rate, and his performance ranks within the top (15-30%) of Majors with whom I've worked with in 20 years of service.

CAPABLE: MAJ Smith's performance was outstanding. He has executed all tasks to standard in a timely manner, and he is able to manage complex assignments. A critical thinker who works well with others. [Lack of any enumeration or percentages]

- **What is not said can have the same impact or more as what is said**
- **Don't say the same thing for all your people --Boards can easily detect repeated verbiage**
- **Avoid using the same verbiage year-to-year for the same Officer (modified cut and paste)**
- **Accurately and fairly assess all Officers regardless of branch and functional area**

Rater Box Checks for Company and Field Grade Forms

b. This Officer's overall Performance is Rated as: *(Select one box representing Rated Officer's overall performance compared to others of the same grade whom you have rated in your career. Managed at less than 50% in EXCELS.)*

I currently rate _____ **Army Officers** in this grade.

A completed DA Form 67-10-1A was received with this report and considered in my evaluation and review: ☐ Yes ☐ No *(explain in comments below)*

EXCELS (49%)	PROFICIENT	CAPABLE	UNSATISFACTORY
☐	☐	☐	☐

- **Rater overall assessment of rated officer's performance compared to officers in same grade (Limited to Company and Field Grade forms)**
- **Excels is limited to less than 50%**

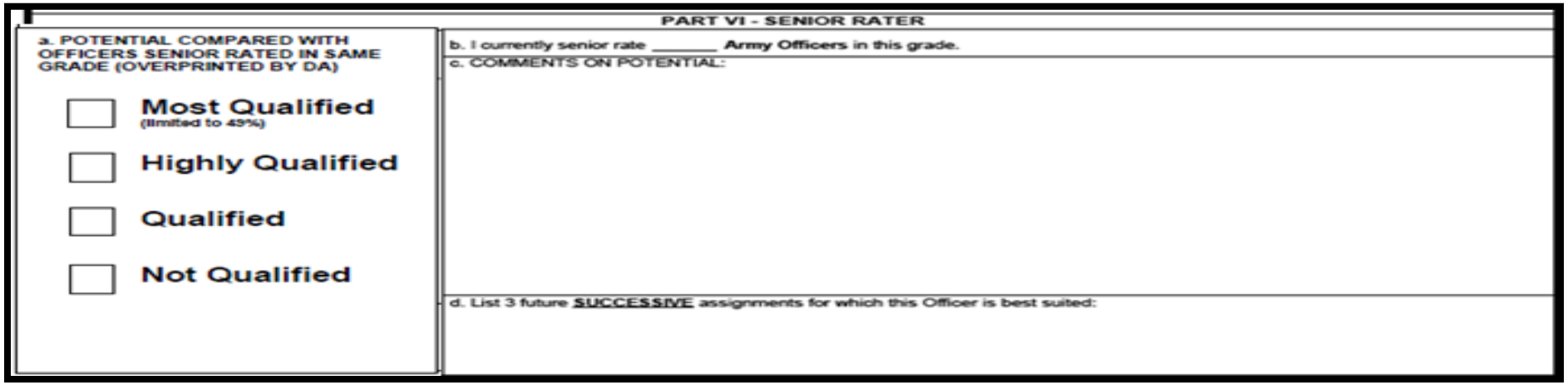
EXCELS: Results far surpass expectations.

PROFICIENT: Consistently produces quality results with measurable improvement in unit performance

CAPABLE: Meets requirements of position and additional duties.

UNSATISFACTORY : Not recommended for promotion

Senior Rater Box Checks for Company and Field Grade Forms



PART VI - SENIOR RATER

a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)

- ☐ Most Qualified (limited to 49%)
- ☐ Highly Qualified
- ☐ Qualified
- ☐ Not Qualified

b. I currently senior rate _____ Army Officers in this grade.

c. COMMENTS ON POTENTIAL:

d. List 3 future SUCCESSIVE assignments for which this Officer is best suited:

- **Four box profile system; provides more options for senior raters (Highly Qualified and Qualified enable greater stratification)**
- **Most Qualified is limited to less than 50%**

MOST QUALIFIED: Strong potential for BZ and CMD; potential ahead of peers

HIGHLY QUALIFIED: Strong potential for promotion with peers

QUALIFIED: Capable of success at the next level; promote if able

NOT QUALIFIED: Not recommended for promotion

The Senior Rater Boxes

PART VI - SENIOR RATER

a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)

- ☐ MOST QUALIFIED *(limited to 49%)*
- ☐ HIGHLY QUALIFIED
- ☐ QUALIFIED
- ☐ NOT QUALIFIED

b. I currently senior rate _____ Army Officers in this grade.

c. COMMENTS ON POTENTIAL:

- *Succinct is better* – shoot for no more than four lines
- SR should enumerate the performance on the 1st line ("#1 of 56 Officers that I SR in this grade", "The Best of 21 MAJs in my Command", …)
- Enumeration is better than Percentages (#2 of 35 is better than top 5% Officer)
- SR must address overall potential for: Promotion, Schooling, Command:
  - ex. Must select from Below the Zone (high impact)
  - ex. Must select for Resident CGSC and SAMS, SSC Fellowship,…
  - ex. Must Command a BDE—Will be a Distinguished BDE Commander, my #1 Choice for Tactical Brigade Command….
  - For LTC CDRs, ex. GO Potential, Multi-Star potential (2 star & above)

d. List 3 future **SUCCESSIVE** assignments for which this Officer is best suited:

List High Visibility, High Influence Jobs for the Highest Performers:

Ex…Joint Staff, Tactical BDE CMD, Division Chief of Staff, …

MOST QUALIFIED: Strong potential for BZ and CMD; this equates to 'potential ahead of peers' (BZ Select) and an Officer who must Command at the next level [Future Leaders in the Army]. *This is not intended to help an Officer 'get promoted' or for an Officer who 'deserves promotion but not command.'*

HIGHLY QUALIFIED: Strong potential for promotion with peers; this equates to 'potential with peers' (PZ Select) and who should Command at the next level

QUALIFIED: Capable of success at the next level; this equates to 'potential' (PZ Select), but who could Command at the next level *[Realistically, this box means—not ready for Command and only Consider for Promotion.]*

HQDA Labels

Example Rater Label:

HQDA COMPARISON OF THE RATER'S PROFILE AND BOX CHECK AT THE TIME THIS REPORT PROCESSED

EXCELS

RO: PATTERSON, MICHAEL R. **SSN: 123456789** **RO: MADISON, THOMAS R** **SSN: 123564789**

DATE: 2016-01-12 **TOTAL RATINGS: 13** **RATINGS THIS OFFICER: 2** I current rate 10 **Army Officers** in this grade.

Example Senior Rater Label:

a. **POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)**

HQDA COMPARISON OF THE SENIOR RATER'S PROFILE AND BOX CHECK AT THE TIME THIS REPORT PROCESSED

MOST QUALIFIED

RO: PATTERSON, MICHAEL R.

SR: RICHARDSON, JOHN D

.

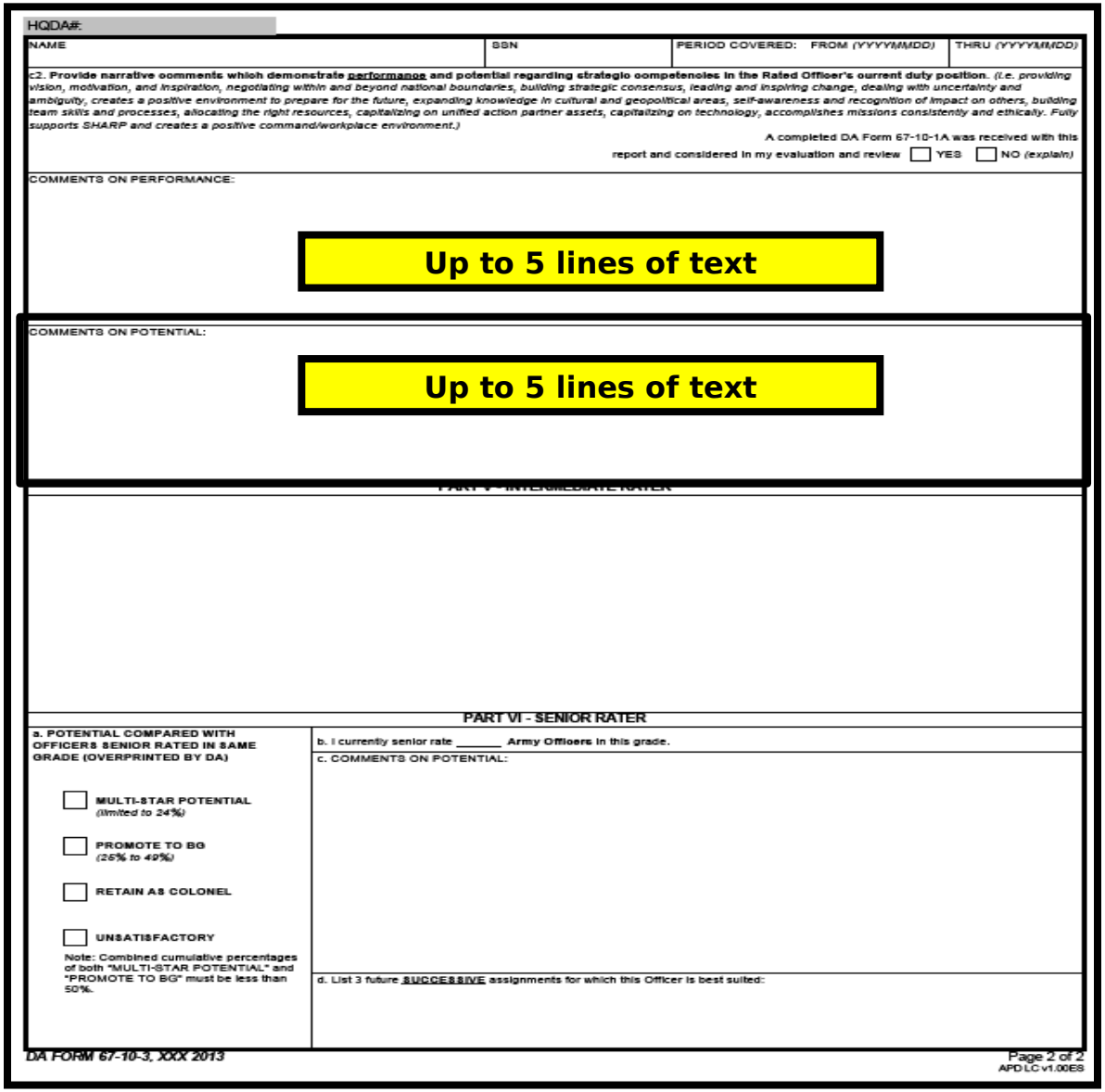
DATE: 2016-01-12

TOTAL RATINGS: 46

RATINGS THIS OFFICER: 2

Strategic Report (Colonel – Back)

- Rater's of Colonels will comment on the Officer's **performance and potential**
- **NO RATER BOX CHECK**
- Senior Rater box check labels change from Company and Field Grade Officer forms



HQDA#:

NAME	SSN	PERIOD COVERED: FROM (YYYYMMDD)	THRU (YYYYMMDD)

c2. **Provide narrative comments which demonstrate performance and potential regarding strategic competencies in the Rated Officer's current duty position.** *(i.e. providing vision, motivation, and inspiration, negotiating within and beyond national boundaries, building strategic consensus, leading and inspiring change, dealing with uncertainty and ambiguity, creates a positive environment to prepare for the future, expanding knowledge in cultural and geopolitical areas, self-awareness and recognition of impact on others, building team skills and processes, allocating the right resources, capitalizing on unified action partner assets, capitalizing on technology, accomplishes missions consistently and ethically. Fully supports SHARP and creates a positive command/workplace environment.)*

A completed DA Form 67-10-1A was received with this report and considered in my evaluation and review ☐ YES ☐ NO *(explain)*

COMMENTS ON PERFORMANCE:

Up to 5 lines of text

COMMENTS ON POTENTIAL:

Up to 5 lines of text

PART VI - SENIOR RATER

a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)

☐ MULTI-STAR POTENTIAL *(limited to 24%)*

☐ PROMOTE TO BG *(25% to 49%)*

☐ RETAIN AS COLONEL

☐ UNSATISFACTORY

Note: Combined cumulative percentages of both "MULTI-STAR POTENTIAL" and "PROMOTE TO BG" must be less than 50%.

b. I currently senior rate _____ Army Officers in this grade.

c. COMMENTS ON POTENTIAL:

d. List 3 future SUCCESSIVE assignments for which this Officer is best suited:

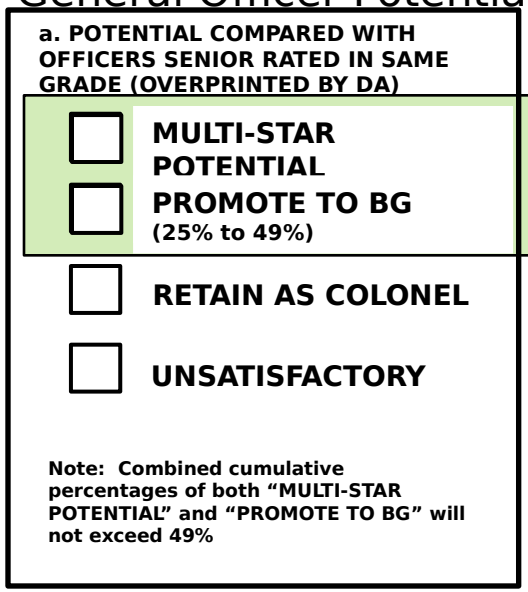
DA FORM 67-10-3, XXX 2013

Page 2 of 2

APD LC v1.00ES

Senior Rater Box Check (Colonels)

- Change Box Check Terminology and option of **24% and 25 - 49% limits** (more restrictive than current system)
- More clearly identifies the best compared to old system
- **Required restart of COL population**
- Senior Rater will receive **a "credit" of 5 to start profile in "Retain as Colonel" block**
- Senior Rater philosophy will best determine how to describe the rated officer's General Officer Potential


a. POTENTIAL COMPARED WITH OFFICERS SENIOR RATED IN SAME GRADE (OVERPRINTED BY DA)
MULTI-STAR POTENTIAL
PROMOTE TO BG
(25% to 49%)
RETAIN AS COLONEL
UNSATISFACTORY
Note: Combined cumulative percentages of both "MULTI-STAR POTENTIAL" and "PROMOTE TO BG" will not exceed 49%

Two ACOM Boxes

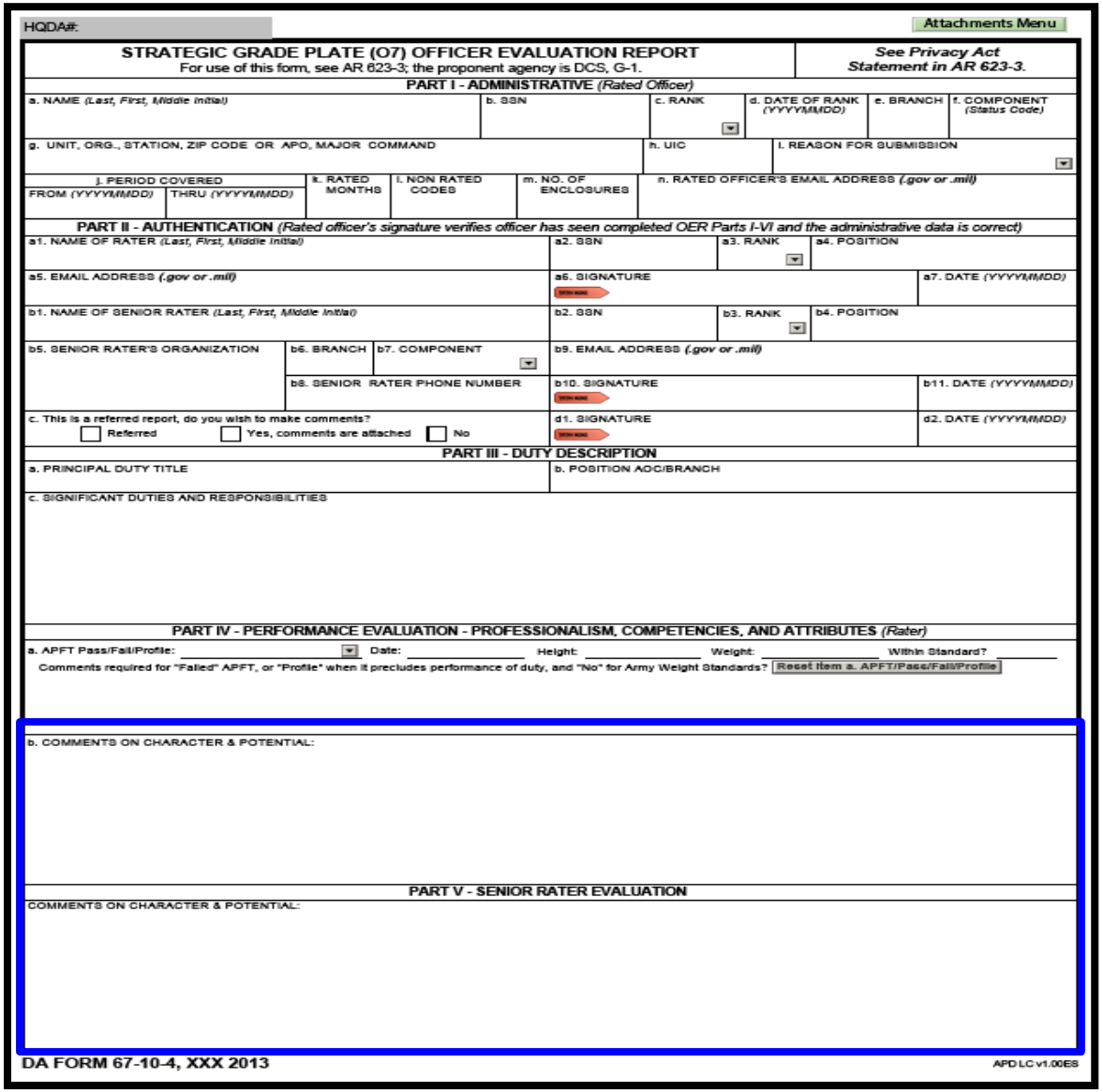
CUMULATIVE % Remains less than 50%

Multi-Star limited to 24% of total reports

Promote To BG limited to 25 – 49.9% of total reports

Strategic Report (BG) Report

- 1-Page OER for BGs
- Rater and Senior rater both comment on character and potential
- No rater and senior rater box check
- Processes thru HRC to Officers Army Military Human Resource Record



HQDA#: Attachments Menu

STRATEGIC GRADE PLATE (O7) OFFICER EVALUATION REPORT
For use of this form, see AR 623-3; the proponent agency is DCS, G-1.

See Privacy Act Statement in AR 623-3.

PART I - ADMINISTRATIVE *(Rated Officer)*

a. NAME *(Last, First, Middle Initial)* | b. SSN | c. RANK | d. DATE OF RANK *(YYYYMMDD)* | e. BRANCH | f. COMPONENT *(Status Code)*

g. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND | h. UIC | i. REASON FOR SUBMISSION

j. PERIOD COVERED: FROM *(YYYYMMDD)* THRU *(YYYYMMDD)* | k. RATED MONTHS | l. NON RATED CODES | m. NO. OF ENCLOSURES | n. RATED OFFICER'S EMAIL ADDRESS *(.gov or .mil)*

PART II - AUTHENTICATION *(Rated officer's signature verifies officer has seen completed OER Parts I-VI and the administrative data is correct)*

a1. NAME OF RATER *(Last, First, Middle Initial)* | a2. SSN | a3. RANK | a4. POSITION

a5. EMAIL ADDRESS *(.gov or .mil)* | a6. SIGNATURE | a7. DATE *(YYYYMMDD)*

b1. NAME OF SENIOR RATER *(Last, First, Middle Initial)* | b2. SSN | b3. RANK | b4. POSITION

b5. SENIOR RATER'S ORGANIZATION | b6. BRANCH | b7. COMPONENT | b9. EMAIL ADDRESS *(.gov or .mil)*

b8. SENIOR RATER PHONE NUMBER | b10. SIGNATURE | b11. DATE *(YYYYMMDD)*

c. This is a referred report, do you wish to make comments? ☐ Referred ☐ Yes, comments are attached ☐ No | d1. SIGNATURE | d2. DATE *(YYYYMMDD)*

PART III - DUTY DESCRIPTION

a. PRINCIPAL DUTY TITLE | b. POSITION ADC/BRANCH

c. SIGNIFICANT DUTIES AND RESPONSIBILITIES

PART IV - PERFORMANCE EVALUATION - PROFESSIONALISM, COMPETENCIES, AND ATTRIBUTES *(Rater)*

a. APFT Pass/Fail/Profile: Date: Height: Weight: Within Standard?

Comments required for "Failed" APFT, or "Profile" when it precludes performance of duty, and "No" for Army Weight Standards? Reset Item a. APFT/Pass/Fail/Profile

b. COMMENTS ON CHARACTER & POTENTIAL:

PART V - SENIOR RATER EVALUATION

COMMENTS ON CHARACTER & POTENTIAL:

DA FORM 67-10-4, XXX 2013 APD LC v1.00ES

Rater/Senior Rater

Profiles and Timeliness Report

Rater Profile Management

- Rater profile established for raters of company and field grade officers
- Maintain less than 50% of reports written by grade in the “EXCELS” box (for raters of LTCs and below)
- Flexibility - Raters have a “credit” of 3 in the “Proficient” box to start profile
- Rater OER profiles calculated based on Profile LOCK date as evidenced by “LOCKING” the profile indication (Locking as a Rater is the same as signing and sending to HQDA for a Senior Rater); once an indication of performance is LOCKED, the rater cannot retrospectively change mind (undo) on block check without HQDA exception to policy
- LOCKING cannot be completed earlier than 14 days before the THRU Date on the Evaluation.
- OERs are due at HRC within 90 days after the thru date of evaluation
- Maintain a working copy of your rater profile and monitor for accuracy
- EES will have built in profile calculators
- HRC will explore an automated “Profile Predictor” for future release

Important Rules

- First single top box at a given grade will generate Most Qualified label at DA, regardless of profile
- Profile continues without interruption as the senior rater moves from job to job
- Properly sequence reports
- Must have a documented misfire in the grade desired for restart

Methods for Combating “Pooling”

- **Inclusion and specific discouraging of “pooling” via regulatory guidance**
  - Raises visibility of issue in a public forum which has not previously been done
  - Still allows commanders and senior leaders to be responsible for designating rating schemes / Approved one level up
  - Intermediate Rater limited to specialty branches only

- Example:

  AR 623-3, para 2-5(a):
  PREVIOUSLY READ: "The Rater will normally be the immediate supervisor of....."
  READS NOW: "The Rater will be the immediate supervisor of...“

  AR 623-3, para 2-7(a)(3)
  PREVIOUSLY READ : "The SR will normally be the immediate supervisor of.....“
  READS NOW : "The SR will be the immediate supervisor of the Rater...”

  AR 623-3, para 2-2
  PREVIOUSLY READ: NA
  READS NOW : “Rating Schemes will be approved one level up”

- Will add "note" throughout regulation at applicable locations (i.e. Managing the Rating Chain, Roles and Responsibilities, etc.) that brings "Pooling" to light.

- Evaluation Entry System (EES) prompts the Senior Rater to validate that the form is accurate, and to attest that he/she is not promoting pooling.

Rater Managed Profile Labeling Rules

Rule #1: If the Rater checks “Proficient” box, then the report is always labeled “Proficient”

Rule #2: If the Rater checks “Capable” or “Unsatisfactory” box, then the report is always respectively labeled “Capable” or “Unsatisfactory”

- The sum of “Proficient,” “Capable,” and “Unsatisfactory” boxes checked should always be greater than 50% of the rater’s profile, otherwise the report is labeled “EXCELS”

Rule #3: If the Rater checks “EXCELS” box and rater’s profile is less than 50%, then the report is labeled “EXCELS”

- An entry of “EXCELS” will only be accepted if the mathematical result of the entry is less than 50% of the total number of reports entered in to grade.

Rule #4: MISFIRE – If the Rater checks the “EXCELS” box and rater’s profile is equal to or greater than 50%, then the report is labeled “Proficient" and the rater is charged with EXCELS. EES will not allow Misfires online.

Rater Profile

- Maintain **less than 50%** of reports written by grade in the “EXCELS” box (for Raters of LTCs and below)Flexibility - Raters have a **“credit” of 3 in the “Proficient” box** to start profile

- OER profiles calculated based on date Rater “Locks” the profile **May not Lock profile earlier than 14 days prior to report THRU Date**

- OERs are **due at HRC within 90 days after the thru date** of evaluationSenior Rater sequencing does not interfere with the Rater’s Locked profile

- Maintain a working copy of your rater profile and monitor for accuracy

- Profile calculators will be provided in EES for raters to use, which will assist with profile management

Senior Rater Profile

- Senior Rater profile established for Senior Raters of company and field grade officers
- Maintain less than 50% of reports written by grade in the “Most Qualified” box (for raters of LTCs and below)
- Flexibility - Raters may indicate Most Qualified for 1 of the First 4 reports Senior Rater
- OER profiles are calculated based on date and time of receipt at HQDA; once an evaluation is completed, the rater cannot retrospectively change mind on block check
- OERs are due at HRC within 90 days after the thru date of evaluation

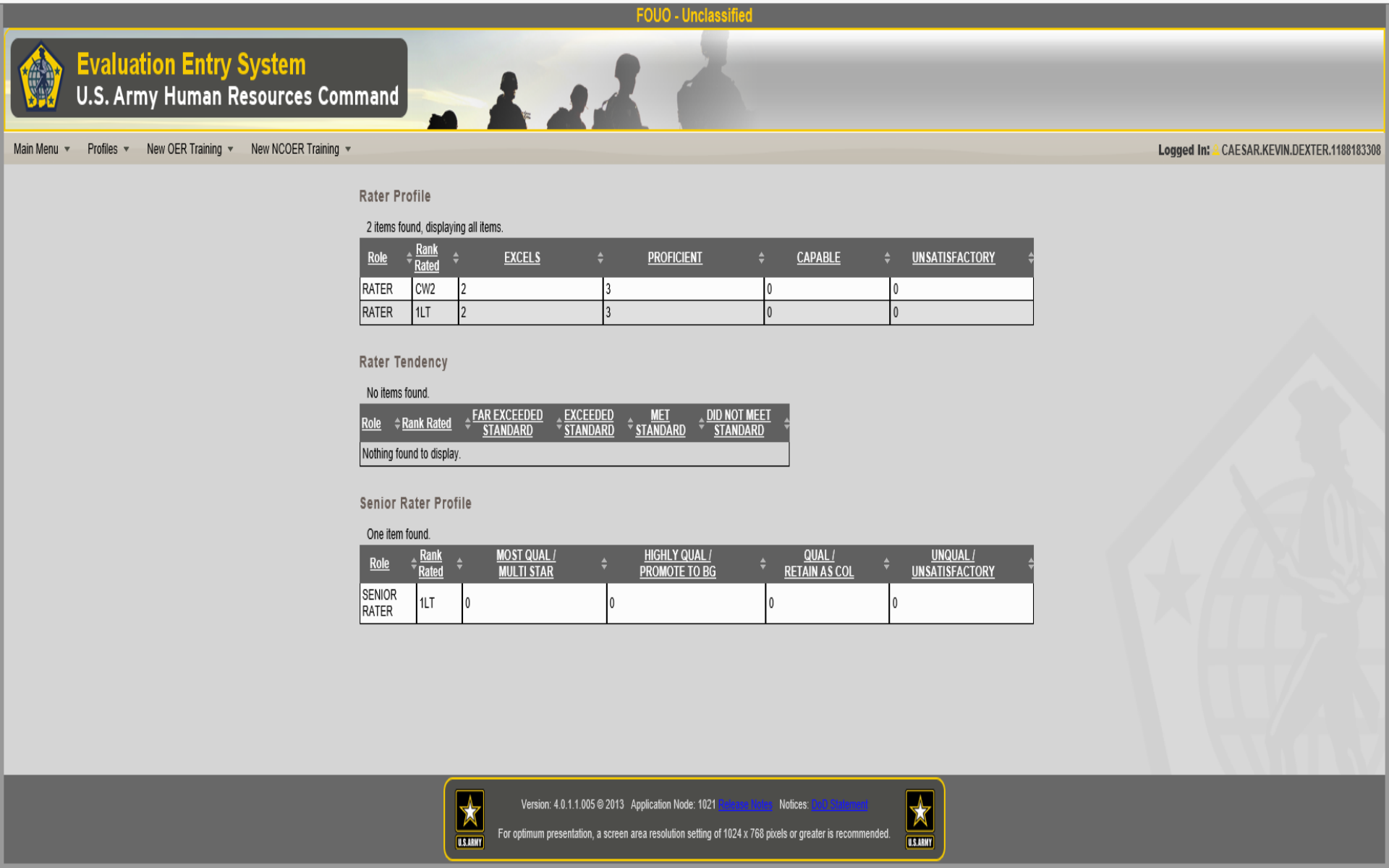
What's a Misfire?

Definition: An OER with an Most Qualified box checked that receives a Highly Qualified DA label because the senior rater's profile (50% or greater) does not support the Most Qualified rating.

Mechanism to prevent: Senior Rater Contact Program. Once OERs are processed, a daily Potential Misfire roster ID's problems. The SR is contacted and given options:

- Submit Highly Qualified OER/(s) to support Most Qualified / re-sequence
- Withdraw/return potential misfire OER
- Give authorization to change box check to Highly Qualified (SR should notify rated officer)
- Officially misfire the report - What happens?
  - Rated officer receives a Highly Qualified DA Label
  - Most Qualified counts on SR profile, further limiting SR ability to give future Most Qualified
  - SR receives a Discipline Memo thru their rating chain

Profile Screenshot (EES)



FOUO - Unclassified

Evaluation Entry System
U.S. Army Human Resources Command

Main Menu ▾ Profiles ▾ New OER Training ▾ New NCOER Training ▾ Logged In: CAESAR.KEVIN.DEXTER.1188183308

Rater Profile

2 items found, displaying all items.

Role	Rank Rated	EXCELS	PROFICIENT	CAPABLE	UNSATISFACTORY
RATER	CW2	2	3	0	0
RATER	1LT	2	3	0	0

Rater Tendency

No items found.

Role	Rank Rated	FAR EXCEEDED STANDARD	EXCEEDED STANDARD	MET STANDARD	DID NOT MEET STANDARD
Nothing found to display.					

Senior Rater Profile

One item found.

Role	Rank Rated	MOST QUAL / MULTI STAR	HIGHLY QUAL / PROMOTE TO BG	QUAL / RETAIN AS COL	UNQUAL / UNSATISFACTORY
SENIOR RATER	1LT	0	0	0	0

Version: 4.0.1.1.005 © 2013 Application Node: 1021 Release Notes Notices: DoD Statement

For optimum presentation, a screen area resolution setting of 1024 x 768 pixels or greater is recommended.

Tools to Use

Evaluations Inspection / Assessment Checklist

Essential Personnel Services (EPS) Evaluations Inspection / Assessment Checklist				
Instructions: Validate all standards with a Yes or No assessment. To score, divide the total "Yes" responses by the total number of standards. **Note** Standards labeled as "best practice" do not count for scoring purposes.				
References: AR 623-3; DA Pam 623-3; MILPER Messages				
ID	Standard	Yes/No	Category	Evaluation Steps
1	S1 retains copies of current and superseded rating schemes.	Yes/No	Best Practice	Visual check.
2	Rating Schemes are validated and approved by the commander.	Yes/No	Compliance	Visual confirmation of commander validation.
3	Rating schemes include the effective date each rating official assumed that status for each rated Soldier listed and a copy of the scheme is provided to each rated Soldier and rating official.	Yes/No	Compliance	Interview / Visual confirmation.
4	Rating Schemes are updated as changes occur or on a scheduled recurring basis.	Yes/No	Compliance	Interview / S1 provides the update guidance.
5	Rating officials in the published rating scheme meet requirements of AR 623-3.	Yes/No	Compliance	Visual confirmation / (DOR/chain of command/special branches, etc)
6	Unit 1SG or CSM reviews all NCOERs.	Yes	Compliance	Interview.
7	S1 maintains an effective suspense mechanism to ensure Soldiers receive required reports (PCS, TCS, and extended TDY) prior to departure.	Yes/No	Compliance	Visual check of suspense/tracking mechanism.
8	S1 maintains an effective suspense mechanism to ensure reports throughout the organization are completed and submitted to HQDA within 90 days of the THRU date.	Yes/No	Compliance	Visual check of suspense/tracking mechanism.

Example Profile Calculators

Microsoft Excel Worksheet

Microsoft Excel Worksheet

S-1 Guide to Evaluation Timeliness

- Maintain rating schemes
- Verify thru dates
- Educate subordinates
- Incorporate into Command and Staff calls
- Establish tracking tools (HRC Website)
- Refer to regulation for referred reports
- Command Inspections and Personnel Readiness Reviews
- SOPs
- Commander’s Involvement

Common Returned OER

1. Promotable Rank
2. Nonrated codes
3. Thru Date
4. Minimum senior rater or reviewer rank not met
5. Signed 14 before Thru Date
6. Signature sequence
7. Missing rated officer’s signature
8. MSAF Date
9. APFT Data
10. Ht/Wt Data
11. Mandatory SHARP comments
12. Potential or Missing Rater Narrative
13. Inappropriate text
14. Missing required enclosures
15. Broadening and Operational Assignments

Evaluations Summary

Purpose of Evaluations: Identify our Army's best performers and those with the greatest potential. They assist with:

- Maintaining discipline
- Promoting leader development/professionalism by linking performance to missions and doctrine (assessed by field leaders)
- Providing feedback to rated individuals **counseling is critical**

Leader must know how the system works, know when reports are due and have a rating philosophy

NARRATIVES - THEY ARE THE KEY to the system 99.008% of all Officers have at least one DA67-9 Center of Mass report and we expect use of Highly Qualified to remain consistent.

67-10 OERs:

- "Highly Qualified" ratings will be the nor,
- Small populations/immature profile are common in any profile system

Check on Learning

Q. How early can you lock your profile when submitting an OER?

A. Not earlier than 14 days prior to the through date.

Q. A Senior Rater for an officer report is limited to _____ percent of Most Qualified reports.

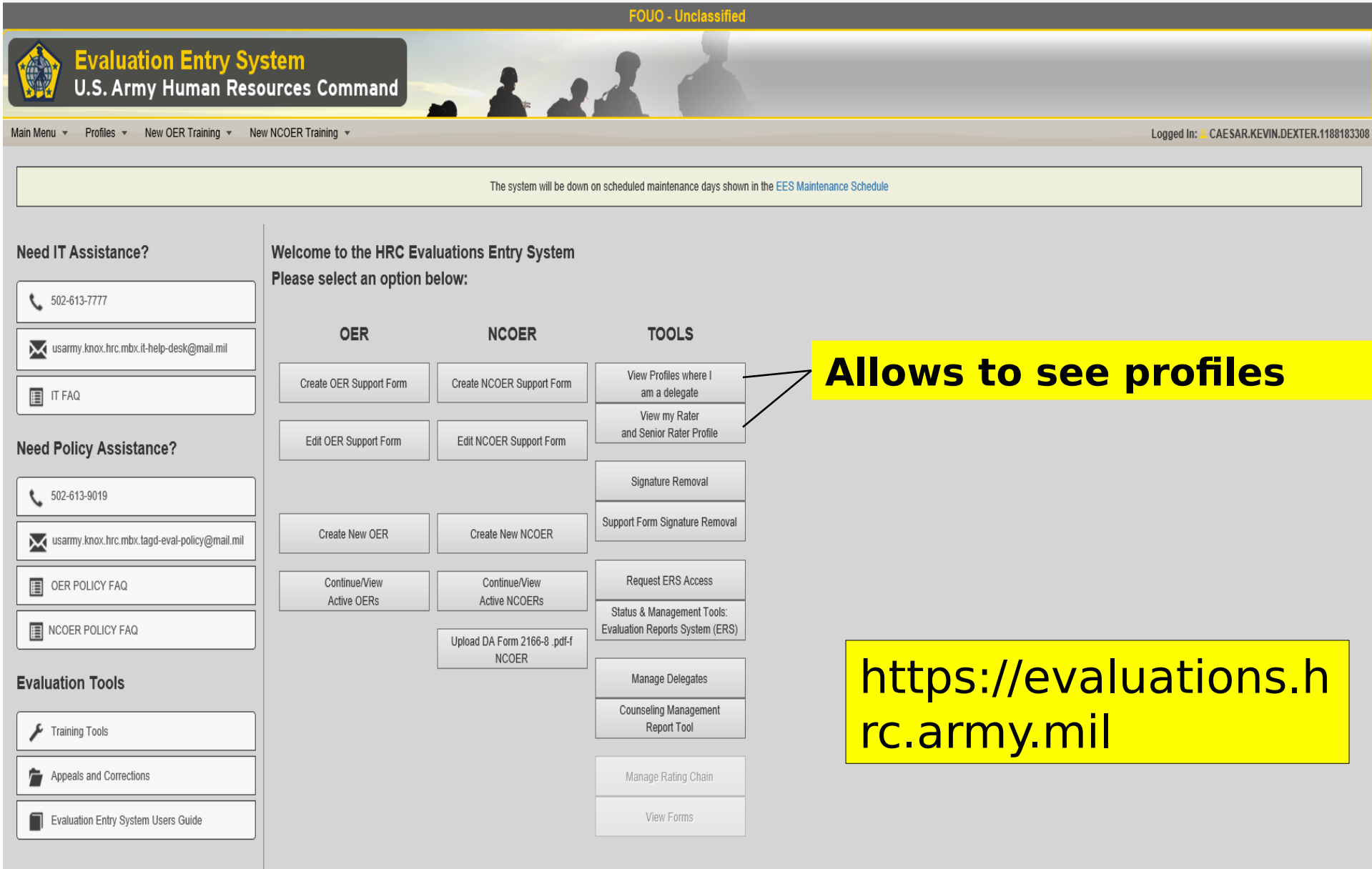
A. 49%

Q. In addition to tracking the senior rater profile history of each senior rater for officers

A. Information on the timeliness of a senior rater's OER and NCOER submissions to HQDA.

EVALUATION ENTRY SYSTEM (EES)

Evaluation Entry System (Homepage)



Allows to see profiles

https://evaluations.hrc.army.mil

How to assign an Enlisted Advisor within the Evaluation Entry System (EES)

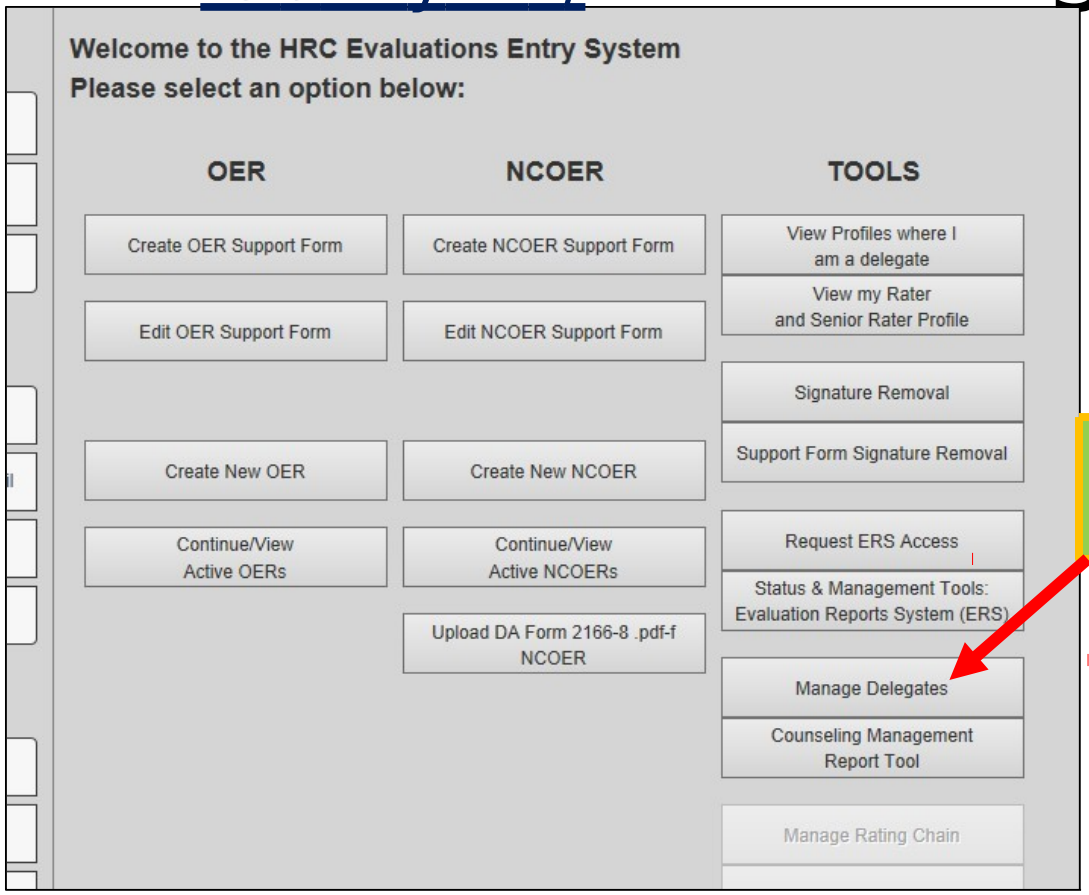
Purpose and Background

"Every NCOER should receive an undocumented reviewed by the 1SG, SGM, or CSM to ensure accountability of Soldiers' NCOERs and to oversee the performance of junior NCOs."
(Reference AR 623-3, paragraph 2-18)

- **An Enlisted Advisor function exists within EES, specifically designed to support and facilitate responsibilities and actions outlined in AR 623-3.**
- **Raters and Senior Raters have the ability to assign an Enlisted Advisor within EES.**
- **To enable this functionality, each rating official must navigate to the "Manage Delegates" section, located under "TOOLS" on the EES landing page.**
- **Rating officials (or a delegate with "manage delegate" permissions) enter an Enlisted Advisor's information assigning the permission.**

Assigning Enlisted Advisor permission to a Delegate

https://evaluations.hrc.army.mil/

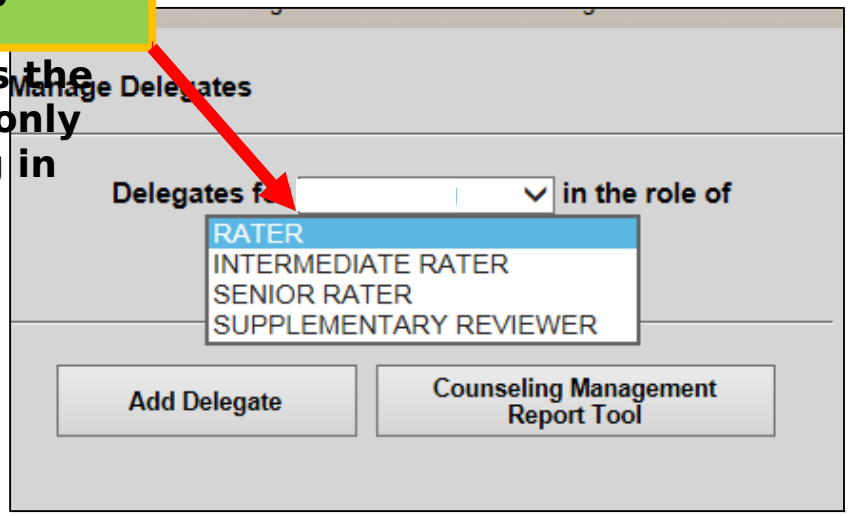


Manage Delegates:
(1) Select to assign/manage delegates and permissions.

Assigning Enlisted Advisor permission to a Delegate

https://evaluations.hrc.army.mil/

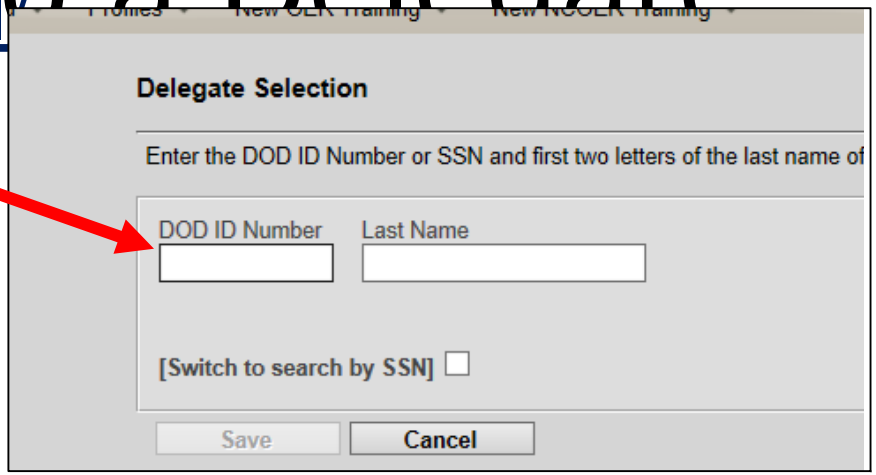
2) If adding a delegate for the first time, your screen will look like this.
Use the drop down to select "Rater" or "Senior Rater" depending on what role you would like to assign the Enlisted Advisor. (allows the "Enlisted Advisor" view only for when you are serving in this rating capacity)



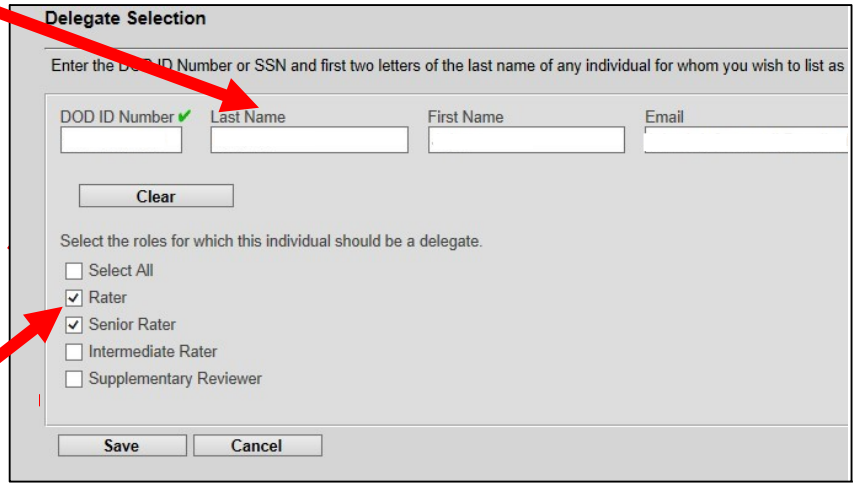
Assigning Enlisted Advisor permission to a Delegate

https://evaluations.hrc.army.mil

3) Enter the delegate's DOD ID number or SSN and Last Name


Delegate Selection
Enter the DOD ID Number or SSN and first two letters of the last name of
DOD ID Number
Last Name
[Switch to search by SSN]
Save
Cancel

4) When information populates, ensure delegate's information is correct.



5) Select roles
Note: an "Enlisted Advisor" will only be a delegate for Rater or Senior Rater.

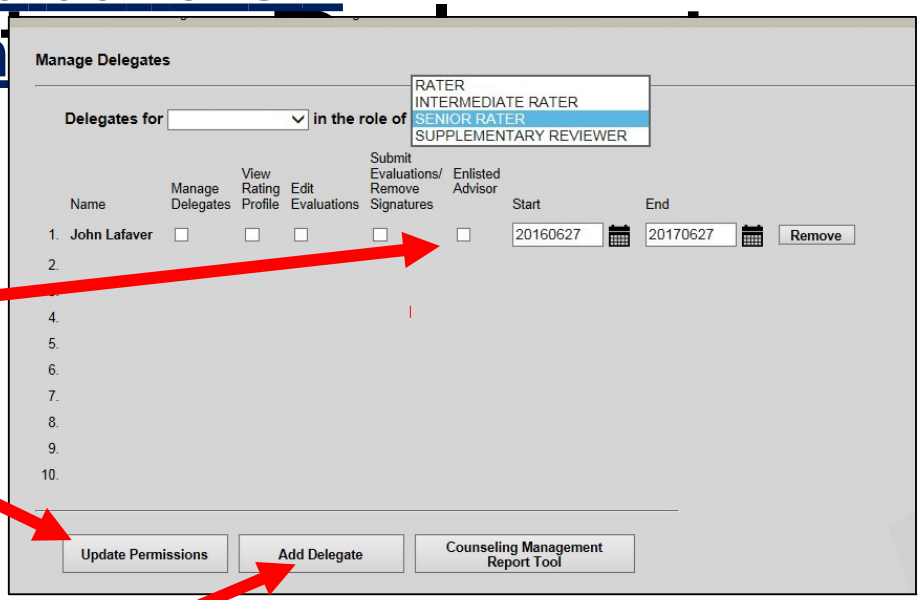
Assigning Enlisted Advisor permission

https://evaluations.hrc.army.mil

6) Check the applicable delegate permission "Enlisted Advisor".

7) Select "Update Permissions" to save work

8) Add any additional delegates you need and permissions. When complete. Always "Update Permissions" when complete.



Additional NCOER Training and Information

https://www.hrc.army.mil/content/Evaluation%20Systems

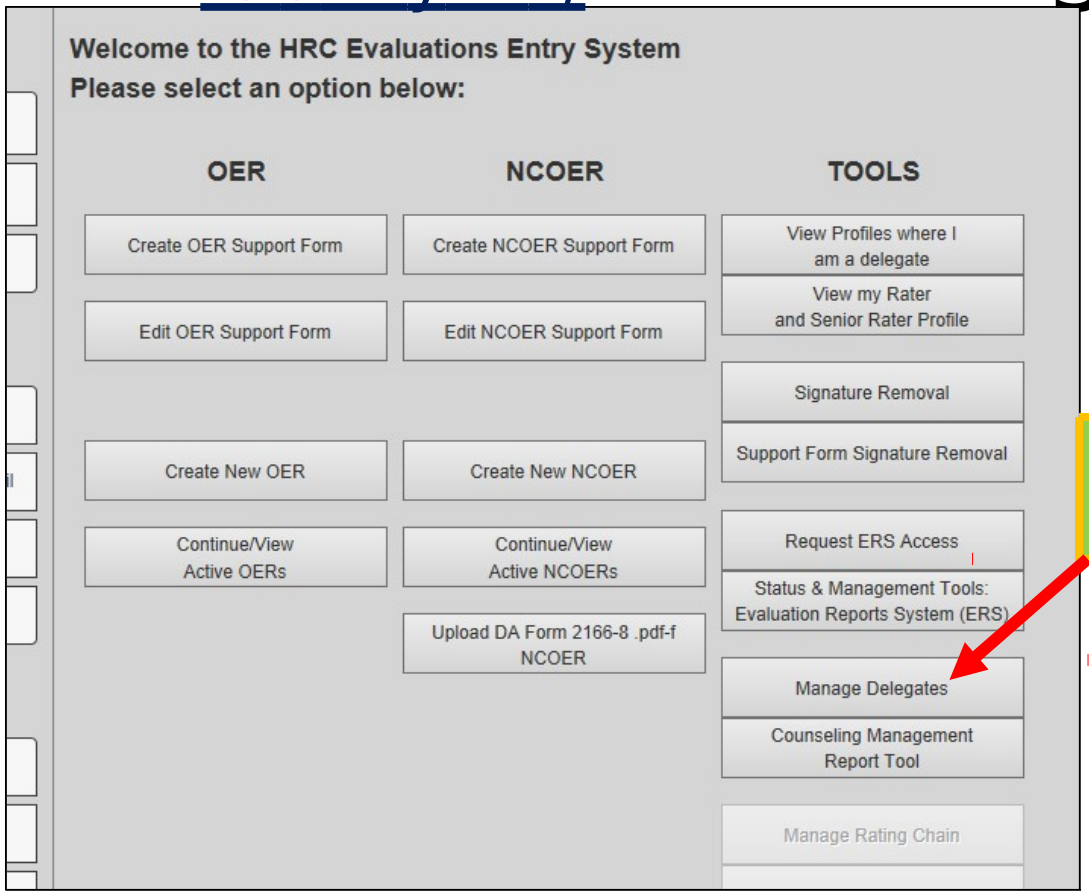
Purpose and Background

"Every NCOER should receive an undocumented reviewed by the 1SG, SGM, or CSM to ensure accountability of Soldiers' NCOERs and to oversee the performance of junior NCOs."
(Reference AR 623-3, paragraph 2-18)

- **An Enlisted Advisor function exists within EES, specifically designed to support and facilitate responsibilities and actions outlined in AR 623-3.**
- **Raters and Senior Raters have the ability to assign an Enlisted Advisor within EES.**
- **To enable this functionality, each rating official must navigate to the "Manage Delegates" section, located under "TOOLS" on the EES landing page.**
- **Rating officials (or a delegate with "manage delegate" permissions) enter an Enlisted Advisor's information assigning the permission.**

Assigning Enlisted Advisor permission to a Delegate

https://evaluations.hrc.army.mil/



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Assigning Enlisted Advisor permission to a Delegate

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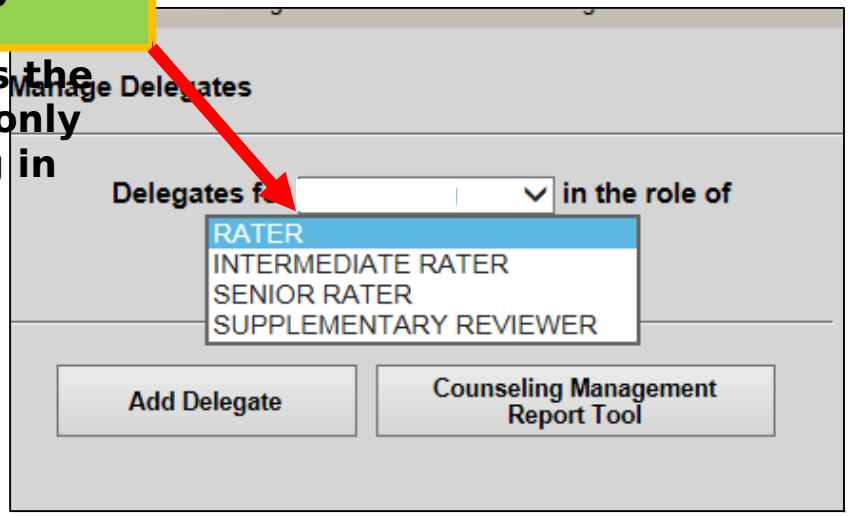
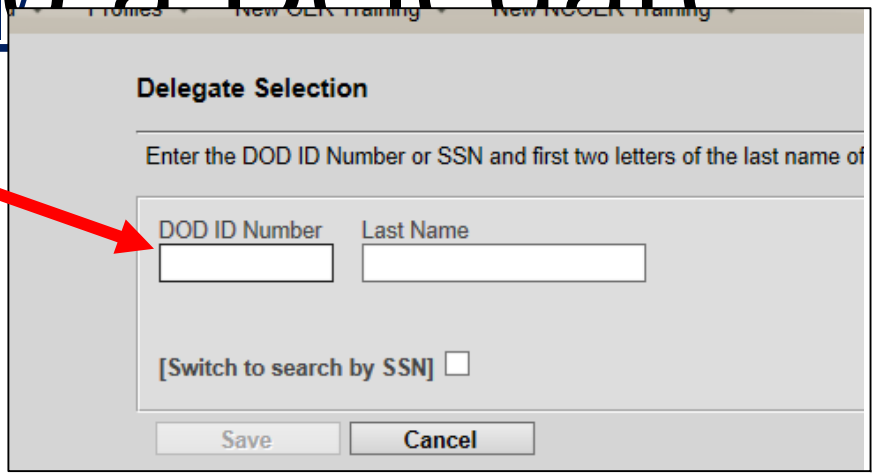


Assigning Enlisted Advisor permission to a Delegate

https://evaluations.hrc.army.mil

3) Enter the delegate's DOD ID number or SSN and Last Name


Delegate Selection
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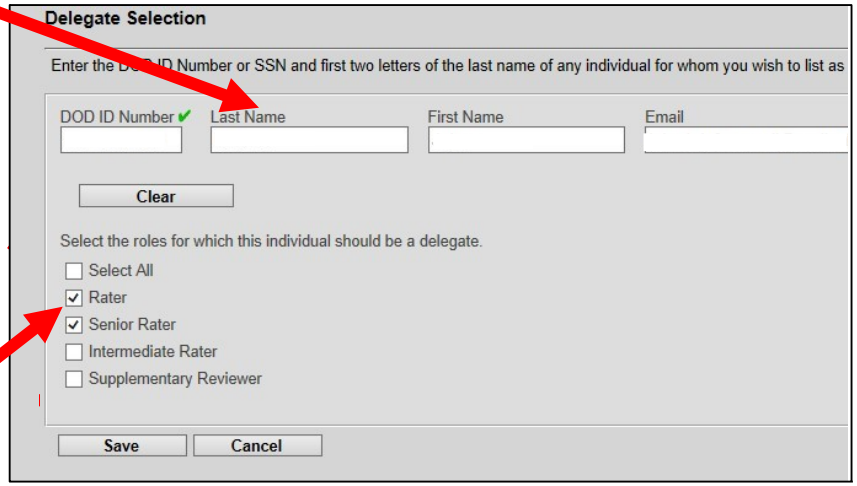
DOD ID Number
Last Name
[Switch to search by SSN]
Save
Cancel

4) When information populates, ensure delegate's information is correct.



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Assigning Enlisted Advisor permission

https://evaluations.hrc.army.mil

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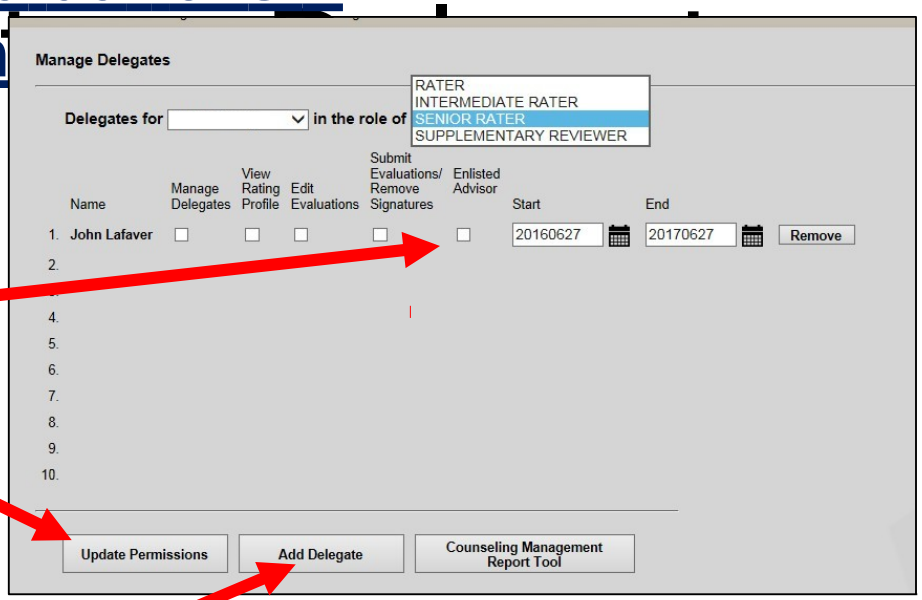
7) Select "Update Permissions" to save work

8) Add any additional delegates you need and permissions. When complete. Always "Update Permissions" when complete.



Additional NCOER Training and Information

https://www.hrc.army.mil/content/Evaluation%20Systems

ERS Points of Contact

HRC Evaluations

Evaluation Reports Mailed **(only Deployed Soldiers may e-mail reports to HRC)**
U.S. Army Human Resources Command
ATTN: AHRC-PDV-ER
1600 Spearhead Division Ave, Dept #470
Fort Knox, KY 40122-5407

Evaluation Reports Appealed
U.S. Army Human Resources Command
ATTN: AHRC-PDV-EA
1600 Spearhead Division Ave, Dept #470
Fort Knox, KY 40122-5407

Email Accounts
Policy – usarmy.knox.hrc.mbx.tagd-eval-policy@mail.mil
Appeals – usarmy.knox.hrc.mbx.tagd-eval-appeal@mail.mil
Deployed Units - usarmy.knox.hrc.mbx.tagd-eval-from-deployed@mail.mil

Terminal Learning Objectives

Action: Administer the Evaluation Reporting System (ERS)

Conditions: Given classroom instruction, AR 623-3 (Evaluation Reporting System), DA PAM 623-3 (Evaluation Reporting System), ADRP 6-22 (Army Leadership), U.S. Army Performance Evaluation Guide and awareness of Operational Environment (OE) variables and actors.

Standard: Complete all assigned ERS Practical Exercises and score 70% or higher on a knowledge based exam that includes the following enabling learning activities:

1. Communicate the principles of the Evaluation Reporting System (ERS).
2. Identify different types of evaluations.
3. Determine rating chain qualifications and responsibilities.
4. Determine counseling requirements that support ERS.
5. Apply the principles of the Evaluation Report Redress Program, including the Commander's Inquiry and the Appeals Process.
6. Determine the requirements for completion and submission of Evaluation Reports.
7. Define the Noncommissioned Officer Evaluation Report
8. Define the Officer Evaluation Report
9. Communicate the Evaluation Entry System (EES)
10. Identify Rater/Senior Rater Profile management actions